

DRAFT

Funds Control Smart Book



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The Funds Control Smart Book is a concept statement and contains information that is current as of the date on the cover page. This document defers to the approved statement of work (SOW) and schedule for the Funds Control program and the approved Funds Control business rules as the official requirements baseline. A copy of this document is available for download under the Funds Control tab at <http://www.ssf.army.mil/>.

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Get Smart on Funds Control (FC)

1. What is the purpose of the Funds Control Smart Book?

This “Smart Book” is a hip pocket guide designed to inform both financial and logistics managers of the plan to implement Funds Control throughout the tactical Army in Fiscal Year 06. It provides:

- Brief history on the evolution of Funds Control
- Program objectives, benefits, and overview
- Funds Control Terminology
- Funds Control Business Rules and Process Flows
- Army’s strategy for FC implementation and training
- Tips on how to prepare for Funds Control

2. What is Funds Control?

Funds Control is a business process improvement jointly sponsored by the Assistant Secretary of the Army, Financial Management and Comptroller ASA (FM&C), and the Army Materiel Command, G-3, Enterprise Integration (AMC G-3 EI) office. Its seed was planted as a result of the 15 October 2002 Single Stock Fund General Officer Working Group (GOWG) meeting, where a number of financial problems were discussed. These included uncertainty on when a financial obligation occurs, the corresponding difficulty imposed on the logistics – financial reconciliation, and the requirement to verify funds availability before an obligation is posted to the financial system. DA G-4 requested that ASA (FM&C) resolve these issues. On 30 October 2002, ASA (FM&C) finalized its decision to pursue the Funds Control initiative, and on 13 March 2003, the Secretary of the Army approved implementation of the FC program. Through its stated objectives, Funds Control is expected to simplify the obligation process, help alleviate the cumbersome supply to finance reconciliation process, and provide the Active Army, Army Reserves, and Army National Guard with an automated process with which to control funds. This will be accomplished through the introduction of a new system called Funds Control Module (FCM), and the application of software changes to existing systems to

include the Standard Army Retail Supply System (SARSS), Middleware (MW), and the Operational Data Store (ODS).

3. What are the objectives of Funds Control?

ASA (FM&C) has outlined 4 main objectives for Funds Control.

- **Eliminate Installation Supply Buffer (ISB).** ISB is the current non-accounting Defense Finance and Accounting System (DFAS), which operates between the Standard Army Retail Supply System (SARSS) / Middleware (MW) and Operational Data Store (ODS) / Standard Finance System (STANFINS). Its primary function is to change logistical transactions (on the SARSS generated F09) to MILSBILLS format in support of financial processing for both the Active Army and Army Reserves. The Army National Guard uses the Automated Funds Control Order System (AFCOS) to perform the same task. Funds Control Module (FCM) will replace all 36 ISB in the DFAS inventory, and perform the F09 functionality of AFCOS. Figure 1 shows the current transaction flow, and highlights the future elimination of ISB.

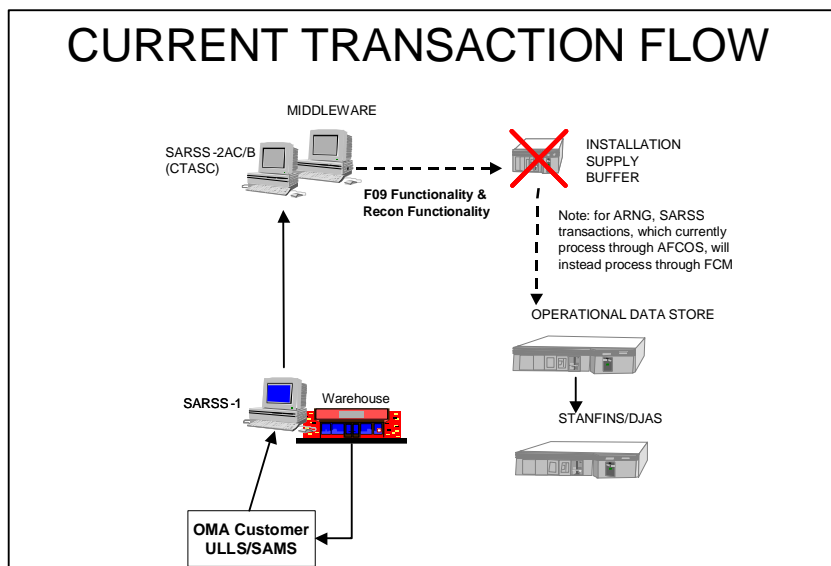


Figure 1 – Current Transaction Flow

- **Obligate customer funds on the initial supply order/request.** Currently, an obligation does not occur until the first positive status for a request has processed through ISB and posts in STANFINS/DJAS. Consequently, the customer does not have an accurate picture of his true obligation posture. By obligating on the initial request (A0_, AM_, or AT_), the customer, as well as his logistics and resource managers, will have a more precise accounting of what funds have been obligated. This ensures a more auditable trail, and reduces the possibility of over-obligating funds.

- **Establish a more robust funds control process.** The “Army of One” has multiple methodologies and system edits that are not congruent or standardized across all commands. The Active Army and Army Reserves rely on ISB as a buffer between SARSS and STANFINS. As a subset to that, Forces Command (FORSCOM) uses another system called Financial and Logistical Interface Program (FINLOG) to review/edit transactions prior to their being processed in ISB. United States Army, Europe (USAREUR), on the other hand, relies on STARFES as a front-end system for Depot Level Repairable (DLR) management. While the National Guard uses AFCOS to process F09 transactions from SARSS, it relies on another system called the Integrated Materiel Automation Program (IMAP) to conduct an upfront funds control check prior to processing in SARSS. With Funds Control, a more standardized process will be in place to ensure availability of funds, and provide automated processing of supply transactions to the financial system.

- **Simplify the supply to finance reconciliation process.** Currently, the field performs monthly logistics reconciliation between the SARSS-1 system and the CTASC Document History, and then from the CTASC Document History to the Installation Supply Buffer. Next, a financial to financial reconciliation is conducted between ISB and the supporting financial accounting system, STANFINS or, in the case of Fort Benning, DJAS. Depending on the size of the installation, and the selected dollar threshold for manual review of mismatches, the amount of financial system downtime required to accommodate these reconciliations can vary. By placing a systemic hold on transactions, they cannot process all the way through the financial

system. This ultimately impacts the timeliness of our financial databases.

With the introduction of Funds Control, the process to which we are accustomed will change. While there will still be a requirement for logistics managers to conduct a monthly reconciliation between SARSS-1 and CTASC document history, instead of the monthly reconciliation between CTASC and ISB, and then ISB to STANFINS or DJAS, there will be a daily data synchronization between the logistical and financial systems, that will include transaction validation between FCM and ODS.

As financial impacting logistics transactions pass from SARSS through Middleware to Funds Control Module (on the OSC, S9B, and 080 files) throughout the day, they will post to Funds Control history and pass to ODS through a “web service call”.

FCM sends data output transactions to ODS via web call with DIC=ODS. This includes OMA to OMA obligation, accrual and disbursement information, as well as OMA to AWCF obligations and accruals (if the receipt/issue occurs before the interfund bill). When ODS receives the FCM web call, it processes the transactions into STANFINS and sends transaction validation back to FCM advising that the obligation was received (from FCM) and processed (by STANFINS).

Because ODS has the APC, EOR, FY on the transaction, if STANFINS processes the transaction to an APC, EOR or FY that is different than what is on FCM Header History, FCM will overlay the header history with the new values and send a transaction validation update back to ODS. This will bring the two systems into agreement.

If for some reason the amounts received are not the same as the amounts processed, the transaction will go to a report. The document number will remain on the report until the transaction validation comes back into balance. Chances are: there have been additional adjustments that are still in float and will come back into balance with the next STANFINS run. When this happens, the record will fall off the report and the transaction validation will post to history.

If the amounts are not brought into balance after one or two additional STANFINS cycles, the RM will need to conduct research. It is likely someone made an adjustment to STANFINS. This will have to be corrected in STANFINS (the system of record), to bring FCM back in balance and drop the record from the report.

When ODS receives transactions from FCM, it will send a transaction data call back to FCM verifying receipt. ODS subsequently will post the transactions to its logistics history, and pass them to STANFINS. When ODS receives confirmation from STANFINS, it performs another transaction validation web service call to FCM, indicating a data synchronization match.

At the end of the day, the SARSS F09 is compared to transactions on the SARSS files that processed through FCM throughout the course of the day. If there are any financial impacting transactions that are on the F09, but not on these files, Funds Control will build a history for those transactions and send them to ODS. This way, we ensure all financial impacting logistics transactions that are generated throughout the day have been processed by FCM and passed to ODS.

Additionally, FCM will automatically adjust obligations as a result of catalog price changes. This eliminates many of the candidates that previously showed up on the CTASC to ISB recon.

With the new data synchronization and transaction validation processes, financial and logistical managers will be more informed of their actual financial posture at any point in time, and consequently, will be better prepared to make accurate, timely, fiscal decisions.

4. Before trying to grasp the FC concept, are there any terms with which I should become familiar?

There are several terms that are key to understanding Funds Control, a few of which are new to the Army vocabulary.

FUNDS CONTROL TERMS AND DEFINITIONS	
Account Identification Data (AID)	Header information contained on the Funds Account Data Record (FADR) to include the Fiscal Station Number and the Financial Work Center.
Commitment	An administrative reservation of funds from an allotment. A commitment authorizes the creation of an obligation without further approval by the officer responsible for certifying funds availability.
DOJOCON Table	A new table designed for Funds Control Module, which contains data elements that currently reside on 3 separate tables in ISB – the DODAAC Table, Job Order Assignment Table, and Customer Control Table. Data elements on the DOJOCON are: DODAAC, FSN, APC, CFC, PROJ, DLR, MATCAT, BLL_CD, APN_FY_DSG, DBOF_IND, RIC_SGE_SITE, EFF_DT, SUSP_DT, TME_LST_UDT, RIC_SOS, OA, APN, ASN, APN_LMT, PD_MAJ, PD_MIN, UIC, MDEP/SODP, AMS.
Financial Work Center (FIN_WRK_CTR)	A 3-character code (used by SARSS and Funds Control Module) that identifies a DODAAC or group of DODAAC for which funds will be tracked and funds availability will be determined.
Fiscal Station Number (FSN)	A 6-digit number that identifies the activity that is responsible to perform the official accounting and reporting of funds.
Funds Account Data Record (FADR)	A record established in Funds Control Module for each Financial Work Center. A FADR can be established for a single DODAAC or a group of DODAACs. The FADR is used to set a target for account dollars, notification levels, and Non-Sufficient funds. Tracks funds expended and credited; maintains a record of Non-Sufficient funds expended.

Funds Availability Switch (FAS)	Control mechanism in both SARSS and FCM used to validate that funds are available for obligation of a request for issue transaction.
Funds Control	A check of funds prior to obligation and issuing or passing of supply transactions.
Funds Control Module (FCM)	A new system which replaces the Installation Supply Buffer for Active Army and Army Reserves, and the F09 functionality that is currently performed by the Automated Funds Control Order System for the National Guard. This system enables obligation of customer funds on the initial supply request/order, establishes a robust funds control process, and simplifies the supply to finance reconciliation process by performing data synchronization with SARSS and ODS.
Funds Counter	Entries on the Funds Account Data Record, in which designated managers establish fund ceilings, and adjusted balances are recorded as the result of financial impacting transactions that process through Funds Control Module.
Funding Level	In current environment, it is a monetary ceiling ("allocated" at SARSS-2AC counter) that is placed or updated by the Funds Manager. Under Funds Control, it is a target level on the Funds Account Data Record that is placed or updated by the Funds Manager.
Funds Management	STANFINS/DJAS remain the financial systems of record for financial management. Funds Control provides funds control, not financial management.
Initial Obligation	Data passed to ODS from FCM that establishes the first obligation in STANFINS/DJAS.
Non-Sufficient Funds (NSF) File	The area in SARSS where transactions reside for manager action when there are not sufficient funds in the funds counter, or transactions exceed the high dollar edits that have been established in SARSS by the 2AC Manager.

Obligation	A legal reservation of funds.
Obligation Adjustment	Data passed to ODS from FCM representing a change to the established obligation in STANFINS/DJAS.
Off-line Requisition	Any request/requisition not processed through SARSS, i.e. call-ins to the national level.
Over-obligation	A condition existing when the total obligations incurred exceed the total available obligation authority.
Unliquidated Obligation	An unpaid bill for which the U.S. Government has recognized and recorded an eventual liability.

Figure 2 – Funds Control Terms

5. Can you explain how Funds Control is going to work?

Funds Control will be enabled with the introduction of a new system called Funds Control Module and placement of a Funds Availability Switch in SARSS. Together, these mechanisms will provide the ability to determine funds availability before allowing a request for issue (A0_, AM_, or AT_) to process in the supply system (SARSS), and will facilitate obligation of the request once funds have been approved. Fund counters will be programmed into Funds Control Module, and the current funding approval process in the SARSS Issue/Referral and Manager Review File (MRF) processes will be removed. The MRF functionality in SARSS will remain as it is today, with the exception of requests that need funds approval. Requests for Issue that are suspended in SARSS for funding approval will reside in the new Non-Sufficient Funds (NSF) file. The current MRF Dollars logic (high dollar edit) will be modified and incorporated into the NSF process. The counter information used in SARSS will also be placed into a Funds Account Data Record located in Funds Control Module, which is grouped by Financial Work Center.

The “Funds Availability Switch” is one of the major Funds Control functions added to both the Standard Army Retail Supply System (SARSS) and the Funds Control Module (FCM). This logic checks for funds availability prior to processing request for issue transactions from various SARSS entry points, all the way to the generation of the obligation information within the FCM. SARSS entry points (illustrated in Figure 3), are defined as:

- SARSS-1 Issue logic
- SARSS-2AC Issue logic (Interactive and Batch processing)

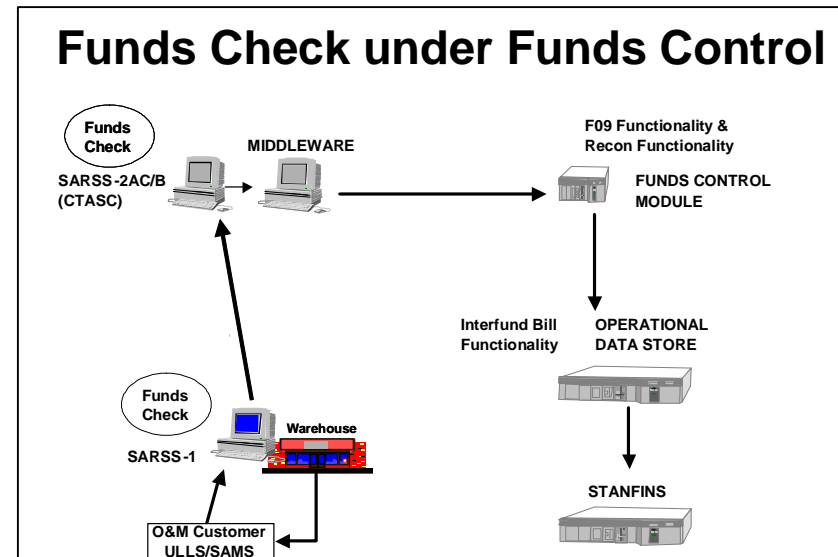


Figure 3 – Funds Check Under Funds Control

The value populated on the Funds Availability Switch will be used to validate if funds are available for Budget Activity Code “2” requests for issue (A0_, AM_ and AT_ including replenishment for consumer funded stock), and will automatically direct the requested transaction into a suspense state or reject action when funds are not available. Once a suspended request is approved, no additional funds checks are necessary prior to obligation. When a FAS value is changed in FCM, a transaction (TA1) will be passed to SARSS to update the FAS value displayed in SARSS (DODAAC record). By relating the FAS value to the DODAAC, funds availability can

be validated at any SARSS entry point subordinate to the SARSS-2AC/B.

The Funds Manager (Financial/Resource Manager) is responsible to establish and maintain the FAS value for every DODAAC (customer or SARSS-1) within his area of responsibility. In order to do this, he must establish a relationship between the DODAAC record in SARSS and the Funds Account Data Record (FADR) in FCM. The common thread (data element) between these two records is the Financial Work Center (FIN_WRK_CTR). With this, the Funds Manager can establish a separate accounting of funds for a single DODAAC, or for a group of DODAAC.

To provide separate accounting for a single DODAAC, the funds manager must coordinate with the supply manager to ensure that a unique FIN_WRK_CTR has been assigned and built for that DODAAC at the SARSS-2AC, and broadcasted to subordinate SARSS-1 activities using their normal communication files. He will then build a Funds Account Data Record (FADR) for that FIN_WRK_CTR in FCM.

To provide accounting for a group of DODAAC, the funds manager must coordinate with the supply manager to ensure that a common FIN_WRK_CTR has been assigned to all DODAAC records that will be within the same group. He will then build a Funds Account Data Record for that FIN_WRK_CTR in FCM.

A sample FADR from FCM is shown in Figure 4, however, the FADR consists of the following sections:

- Account Identification Data (AID)
 - Fiscal Station Number (FSN)
 - Financial Work Center (FIN_WRK_CTR)
 - Drop down menu of DODAAC under a specified FIN_WRK_CTR and their assigned Funds Availability Switch Value
- Total Dollars – Target, Expended and Balance
 - Total Target Dollars = Funds Target + Non-Sufficient Funds Target
 - Total Expended Dollars = Funds Expended + NSF Expended

- Balance Dollars = Funds Balance + Non-Sufficient Funds Balance

▪ Funds Dollars – Dollars used during normal processing of transactions. The Financial Manager establishes the Funds Target (allocated) within the account dollars. The expended, credited and balance are a result of processing transactions. FAS value of “A”, “C”, and Funds Processing Codes of “K”, “O”, “P”, and “T” will increment the Funds Expended value.

- Funds Target = Target dollars amount available
- Funds Expended = Dollars expended
- Funds Credited = Credit received
- Funds Balance = Balance of dollars available

▪ Non-Sufficient Funds (NSF) Dollars. The Financial Manager adds the NSF Funds Target (allocated). The NSF funds Expended and the NSF Funds Balance are the result of processing. A request for issue with a Funds Processing Code of “M” will increment the NSF Funds Expended value only.

- NSF Funds Target
- NSF Funds Expended
- NSF Funds Balance

▪ Notification Levels – can be set by dollars or percentage of the Funds Target. Used to notify the manager by message (email, report, etc.) that funds are getting low for the account. This occurs whenever the funds balance is equal to or less than the funds notification level.

- Funds Notification Level – dollars
- Funds Notification Level – percentage
- Funds Safety Level – dollars
- Funds Safety Level – percentage

When the FADR is established in FCM (see Figure 4 for example), the Financial Manager will first input FUNDS DOLLARS. He will enter a Funds Target of dollars allocated for each FIN_WRK_CTR within his Fiscal Station Number (FSN). As obligating transactions are processed through FCM, they will post to Funds Expended, and credits will correspondingly post to Funds Credited. FCM will tally the numbers and provide a Funds Balance that equals Funds Target minus Funds Expended plus Funds Credited.

The Financial Manager will next input a Non-Sufficient Funds Target value in the NSF Dollars section of the FADR. This is an amount above what has been allocated in the Funds Target of the Account Dollars Section. The NSF file is used to capture requests that are suspended for funding approval, and have not yet been obligated. It basically replaces funds approval functionality of the Manager Review File (MRF) in SARSS that is used today. As documents are released by the manager from the NSF file, they will increment the NSF Funds Expended. FCM will tally the numbers and provide an NSF Funds Balance that equals NSF Funds Target minus NSF Funds Expended. Credits are not included in this computation.

The Financial Manager must then address the Notification Levels section of the FADR. Entries can be in dollars, percentage, or not at all. The Funds Notification Level provides the first warning message (email, report, etc.) that funds are getting low, and are approaching the established Funds Safety Level. The Funds Notification Level should be set at a realistic amount to provide the financial manager sufficient time to increase the funding target and avoid suspended transactions. The purpose of the Safety Level is to automatically change the FAS value from “A” (Funds Available, Continue to Process) to “S” (Suspend Action), and send a notification message to the manager whenever the funds balance is equal to or less than the Funds Safety Level. In this instance, the “S” will be downloaded to SARSS to update the FAS value of any DODAAC associated with the FIN_WRK_CTR corresponding to the FADR.

The FADR also reflects an automatic computation that tracks total targets, expenditures and balance. The TOTAL DOLLARS target equals Funds Target plus NSF Funds Target. The TOTAL DOLLARS Expended equals Funds Expended plus NSF Funds Expended. Lastly, the TOTAL DOLLARS Balance equals Funds Balance (with credits) plus NSF Balance. A sample FADR is shown in Figure 4.

FUNDS ACCOUNT DATA RECORD (FADR)	
<u>ACCOUNT IDENTIFICATION DATA</u>	
FSN: <u>12345</u>	FIN-WRK-CTR: <u>WK4</u>
<u>TOTAL DOLLARS</u>	
Target, Expended & Balance	
FUNDS-TGT + NSF-TGT = <u>000,001,100,000.00</u>	
FUNDS-EXP + NSF-EXP = <u>000,000,104,500.00</u>	
FUNDS-BAL + NSF-BAL = <u>000,000,997,500.00</u>	
<u>FUNDS DOLLARS</u>	<u>NSF DOLLARS</u>
FUNDS-TGT: <u>000,001,000,000.00</u>	NSF-FUNDS-TGT: <u>000,000,100,000.00</u>
FUNDS-EXP: <u>000,000,060,000.00</u>	NSF-FUNDS-EXP: <u>000,000,044,000.00</u>
FUNDS-CR: <u>000,000,001,500.00</u>	NSF-FUNDS-BAL: <u>000,000,056,000.00</u>
FUNDS-BAL: <u>000,000,941,500.00</u>	
<u>NOTIFICATION LEVELS</u>	
FUNDS-NOTIF-LV-\$:	<u>000,000,050,000.00</u>
	or
FUNDS-NOTIF-LV-%:	<u>000</u>
FUNDS-SAFE-LV-\$:	<u>000,000,000,000.00</u>
	or
FUNDS-SAFE-LV-%:	<u>005</u>

Figure 4 – Funds Account Data Record in Funds Control Module

Funds Availability Switch Values

An Initial Funds Availability Switch (FAS) value will be established when the Funds Control change package is loaded in MW and SARSS. Subsequent changes will be either entered into the Funds Control Module by authorized managers, or automatically assigned through FCM logic. The FAS values are:

- “A” Funds Available, continue to process; obligate request. Funds are available, but the request must continue the SARSS edits for High Dollar (Max-Dollar-Edit, D, R, and Smax-Dollar-edits). If the request fails the High Dollar edits, the request will be suspended and sent to the Non-Sufficient-Funds file/table with Funds Processing Code “H”. An image of the request with the code “H” is sent to FCM. If the request passes the High dollar edits an image of the request with the FAS value “A” is sent to FCM and will continue to process in SARSS.
- “R” Reject because Funds Are NOT Available. The request will be sent back to the customer. FCM will not obligate.
- “S” Suspend Request for SARSS manager action. The request will be sent to the Non-Sufficient Funds (NSF) file at the SARSS-2AC. FCM will not obligate. When funds are established in the SARSS NSF_DOLLARS counter, requests may be released from the NSF manually or automatically, based on established selection criteria. The FADR NSF Funds Target will be decremented as requests are approved, and the FAS value will be changed from “S” to an “M” (manager approved) Funds Processing Code (FPC). The dollar amount of requests released from the NSF cannot exceed NSF Funds Target, nor can the dollar amount exceed the NSF funds established in the SARSS counter. NSF dollars do NOT apply to requests in the SARSS NSF that have failed the “High Dollar” edit.
- “ ” Blank. AWCF activity, so no Funds Check performed. FCM will not obligate.

As each request for issue is processed in SARSS, an image of the request with the FAS value is sent to FCM for processing. This includes all requests approved, rejected or in suspense. Requests that are suspended will be written to a Non-Sufficient Funds (NSF) file waiting supply manager action.

There are two additional FAS values that can be assigned by the SARSS Manager at the CTASC level for a DODAAC. They require Commander approval based on specific conditions.

FAS Values Requiring Commander Approval

- “C” SARSS Manager changes the SARSS DODAAC FAS value from “S” (Suspend) to “C” (Issue – emergency situation or communication failure). This will apply to current requisitions only for a DODAAC under emergency or urgent need during a communications failure. When this occurs, an obligation will be created in FCM for the transaction. Note: if the SARSS Manager does not coordinate a change of the FAS “S” value in the Funds Account Data Record with the Financial Manager, the changed FAS value “C” on the SARSS DODAAC record will be overwritten by the FAS value in the FCM FADR, and the rules of the FADR FAS value would apply to any subsequent requisitions.
- “E” Emergency Suspend SARSS Manager changes the SARSS DODAAC FAS value from currently assigned value of “A” to “E” (suspend). This will apply to current requisitions only for a DODAAC under emergency or urgent need during a communications failure. FCM will not obligate. When this occurs, the transaction will reside in the Non-Sufficient Funds file at the SARSS-2AC until a manager takes further action. If the SARSS Manager does not coordinate a change of the FAS “A” value in the Funds Account Data Record with the Financial Manager, the changed FAS value “E” on the SARSS DODAAC record will be overwritten by the FAS value in the FCM FADR, and the rules of the FADR FAS value would apply to any subsequent requisitions.

In support of the FAS values, SARSS will assign Funds Processing Codes (FPC) to supply transactions. These codes indicate that an item has already been issued (Post-Post), processed outside of SARSS, or manager approved, therefore no funds check required. Funds Processing Codes that are entered on the request for issue image sent to the FCM are:

SARSS Assigned Funds Processing Codes (FPC)

- “H” Request was approved for funds with a FAS equal to “A”, but failed the High Dollar edits. Request was sent to the NSF, and the FAS value of “A” was replaced with a FPC equal to “H”. FCM will not obligate request.
- “K” System approved all matching DODAAC requests in the NSF that contain a FAS value of “S” or “E”. The FADR FAS value has been changed from “S” or “E” to “A”, and the FAS value of the request has been changed to a FPC equal to “K”. Request will be obligated, and FADR Funds Balance will be decremented.
- “M” Manager approved a request in the NSF file that had a FAS value of “S” or “E”. Funds have been established in the SARSS NSF_DOLLARS counter, the FADR FAS value has not been changed from “S”, and the FAS value of the request has been changed to a FPC equal to “M”. The request will be obligated, and the FADR NSF funds will be decremented.
- “T” Manager approved a request in the NSF file that had a Funds Processing Code of “H” (failed High Dollar edit). Request will be released with FPC equal to “T”. The request will be obligated and normal target funds will be decremented.
- “O” Off-Line request is entered into SARSS for a requisition that by-passed the SARSS funds check. FPC equal to “O” will be assigned. The request will be obligated and normal targeted funds will be decremented.

- “P” Post-Post request is processed at a SARSS-1 activity. FPC equal to “P” will be assigned. The request will be obligated and normal targeted funds will be decremented.

The Funds Processing Code (FPC) will overwrite the FAS value (RP 79) on a request. A request with a Funds Processing Code does not require a funds check to be made. These values will generate obligation information for a request for issue and provide historical tracking of data for the user. For example, if the command wants to know how many supply transactions by-passed the SARSS funds availability check (i.e., off-line requests or post-post transactions), this information would easily be obtained from FCM by viewing all the transactions that have a Funds Processing Code of “O” or “P”.

The FCM will provide obligation information to ODS for all requests for issue that have the FAS value of A or C, and Funds Processing values of K, M, O, P or T. FPC/FAS values E, H, R and S will not generate obligation information and will not update the FADR. All requests processed by the FCM are written to FCM History. At any time, an authorized user will be able to query the history of any supported DODAAC and display all transactions that have processed as Off Line, Post-Post, rejected, in suspense or approved and use this information to review financial impact on supply actions.

Whenever a temporary DODAAC is added by a SARSS-1 activity, the FAS value will be established by the SARSS-1 DODAAC Add process with a default value of “A”. If the SARSS-2AC builds a DODAAC record for a customer or SARSS-1, the FAS value will default to an “S” for suspense action, or blank for AWCF activities. Once the Financial Manager has visibility of the added DODAAC and data records established at FCM, the FAS value can be changed and broadcast to SARSS. A default FADR will be established in FCM for a DODAAC whenever that DODAAC is not previously assigned to an account.

When a request for issue is suspended, it is not obligated or processed through SARSS. Those RFI with Issue Priority Group (IPG) 1&2 that are suspended will cause an e-mail to be sent to Army G4; IPG 3 will be sent to MACOM.

A request with FAS value of “S” or “E”, or Funds Processing Code “H” will be written to the NSF file/table in SARSS for Supply Manager action. The request can be approved and continue processing, or can be rejected back to the customer. Transactions in the NSF are not obligated; whereas, every request transaction that resides in the MRF has been processed by the FCM and an obligation transaction has been passed to ODS.

The Financial Manager or designated representative establishes the NSF-DOLLARS counter in SARSS by using an Interactive process. The NSF Dollars counter will consist of Funds Allocated, Expended and Balance or Balance only information. The NSF Dollars counter is decremented as requests are approved for release and shall not go into a negative state. No request can be released from the NSF file (FAS=S only) unless there are sufficient funds in the NSF-DOLLARS account. Requests in the NSF with a FAS value of “S” will decrement the NSF dollars. Those requests in the NSF with a Funds Processing code of “H” will not decrement the NSF dollars or be validated against NSF dollars. The reason for this action is that the FCM has two sets of counter data within each Funds Account Data Record. The normal targeted dollars and NSF dollars.

There are various ways to release transactions from the NSF. SARSS will establish release methods to:

- Review each transaction on the NSF one by one and taking the appropriate action.
- Mass release transactions according to selections established (i.e., release all transactions, release by DODAAC, priority, date, stock number, transactions selected, DLR, etc.).
- System release by DODAAC when the FAS value changes.

Once the Supply Manager approves a request for issue in the NSF, the FAS value “S” on the request is changed to “M” and a Funds Processing Code (FPC) of “H” on the request is changed to a “T” (Funds Processing Code - Manager approved), and returned to the

SARSS entry point that processed the initial request. If a Supply Manager rejects a transaction in the NSF, the FAS value “S” or FPC “H” is changed to “R” on the image sent to the FCM and the transaction is rejected back to the customer.

When the Financial Manager changes the FAS value on the FCM DODAAC record (a TA1 is sent to SARSS) from “S” (suspend) to “A” (funds available), SARSS will automatically approve all requests in the NSF file that match the DODAAC and the FAS value. The FAS value “S” or “E” will be changed to Funds Processing Code “K”, and the request will be returned to the SARSS entry point without Manager intervention. FPC “K” will function the same as an “M” (no additional funds check required). The “K” is used instead of the “M” so that the system-released requests can be identified separately from those that are Manager approved. Transactions with a FPC of K will post to normal targeted funds.

In SARSS, Off-Line processing will only work if the User calls, emails or faxes the 2AC Manager the request for issue data that was placed off-line. An A0_ with FPC=O will be sent to FCM and required data necessary to establish a SARSS-1 Due-in and document history records will be generated. This A0_ will not be a working A0_. No supply action will be taken except as mentioned. FCM will generate obligation information with the A0_ with a FPC = “O” if not already obligated, and will place it into history.

A recap of the interactive functionality of the FAS values and the SARSS assigned Funds Processing Codes is listed in Figure 5.

FUNDS AVAILABLE SWITCH VALUE (RP 79)	CON-DITION	FUNDS PROCESSING CODE	ACTION	OBLIGATE
A - Funds Available	AND	Passes SARSS High Dollar Edit	Continue to process in SARSS, and send image of request to FCM	YES
A - Funds Available	BUT	H - Fails High Dollar Edit	Send to NSF for manager action and send image of request to FCM.	NO
		T - Manager approves request in NSF that had FPC = H (failed High Dollar Edit)	Continue to process in SARSS, and send image of request with FPC = T to FCM	YES
R - Reject, Return to Customer			Reject request back to customer, and send image of request to FCM	NO
S - Suspended; Manager Action OR E - Commander Approved Emergency Suspend.			Send request to NSF for SARSS manager action, and send image of request to FCM	NO
		M - Manager approves request in NSF that had FAS value = S or E.	Continue to process in SARSS, and send image of request with FPC = M to FCM	YES
		K - System approves all matching DODAAC requests in NSF that had FAS value = S or E.	Continue to process in SARSS, and send image of request with FPC = K to FCM	YES
C - Commander Approved Issue. Emergency situation or communication failure. Manager changes FAS value from S to C.			Continue to process in SARSS, and send image of request with FAS = C to FCM	YES
" " - Blank. AWCf activity; no Funds Check performed.			Continue to process in SARSS, and send image of request with FPC = K to FCM	NO
		O - Off-line request that bypassed SARSS funds check is entered in SARSS	Continue to process in SARSS, and send image of request with FPC = O to FCM	YES
		P - Post-Post request processed at SARSS-1 activity.	Continue to process in SARSS, and send image of request with FPC = O to FCM	YES

Figure 5. Funds Available Switch Values and Funds Processing Codes

The Funds Control transaction process concept is shown in Figure 6. A transaction is forwarded from the SARSS-1 customer on the SARSS OSC, S9B, or 080 file through CTASC to the Middleware system that supports that CTASC. MW performs its edits and passes the transactions to Funds Control Module. FCM posts the logistical transactions to history, formats the necessary financial transactions, and sends them to ODS, which in turn formats and forwards the transactions to STANFINS/DJAS. The time required for the transaction to go from the supply system to the financial system is comparatively reduced from the current environment. Note: for those SARSS-1 that remain O&M, transactions from the SARSS CTASC generated F09 will be used in lieu of the SARSS-1 OSC file.

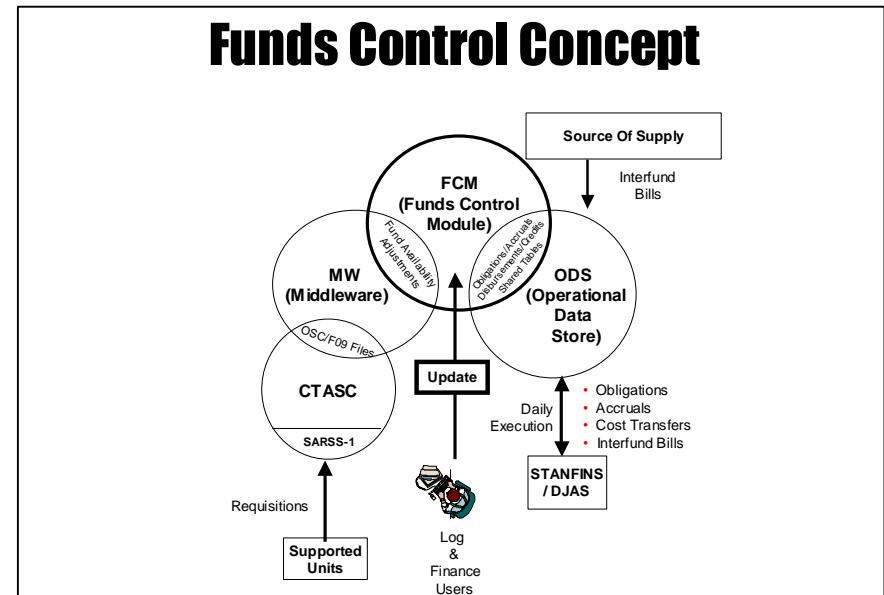


Figure 6. Funds Control Concept

As mentioned previously, the first request for issue (normally DIC A0_) or positive status to hit the supply system will cause an obligation, and will be formatted and sent to the financial system. Since the initial supply transaction prompts the obligation, the funds counter in FCM will be updated with that obligation. The same will occur with credits and refunds. At any time, a Resource

Manager (or those who have been given authorization via established roles and permissions) can get a snapshot view of the overall financial status of any unit.

Daily data synchronization between SARSS and FCM, and between FCM and ODS prevents the accumulation of mismatches to be worked at month end. FCM will compare transactions that were passed from the SARSS-1 OSC, S9B and 080 files throughout the day against the end of day F09 file. Any transactions that are on the F09, but were not previously processed, will be processed, posted to history and passed to ODS at that time.

Figure 7 depicts the basic functionalities of the Funds Control Module (FCM). Below that find a brief description of each process:

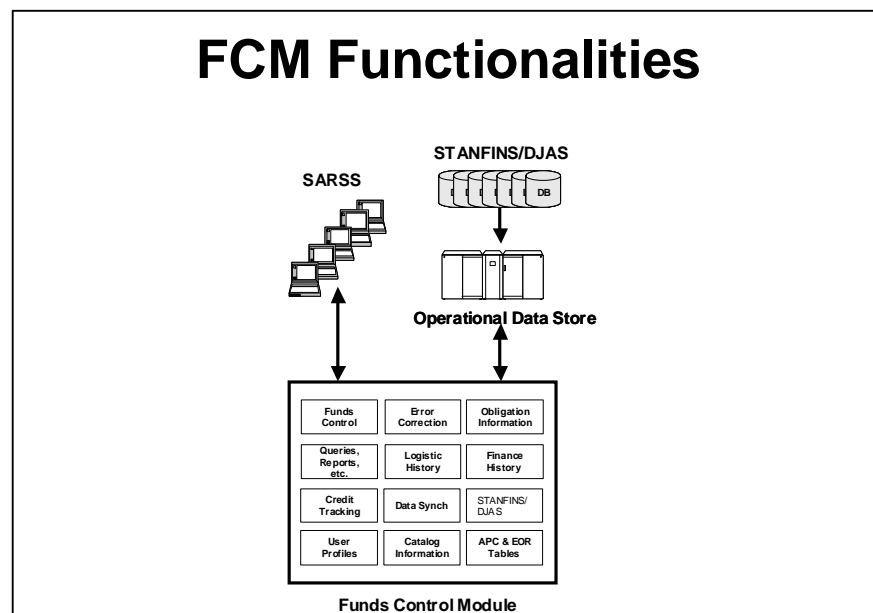


Figure 7. Funds Control Module Functionalities

- **Funds Control** – The Funds Control process will be used to establish funds targets, track expenditures, credits and balances, and send funds availability updates to SARSS.
- **Error Correction** – The Error Correction Process will generate 3 types of reports to authorized users based on roles and privileges - an Action Report, an Information Report, and a FCM Administrator Report. The reports will have a legend to identify the file and the process that created them. The Action report will require the user to either accept or reject the transaction. The accept option will return the transaction to the proper module to complete processing. If the transaction is rejected (not accepted), it will be written to the Detail History with a Transaction Indicator equal to "K". Information reports will provide the user with notice of anomalies that look irregular and should be reviewed. Systems Administrator reports are reserved for the Funds Control Systems Administrator to identify problems with programming such as a DIC that gets into a process that should not be there.
- **Obligation Information** – This contains information on what has been sent to STANFINS/DJAS through ODS.
- **Reports.** – Allows user to obtain information in the form of reports and queries to analyze data.
- **History** – Contains historical information regarding financial transactions sent to or information from STANFINS/DJAS, as well as logistics transactions entered from the SARSS system. As transactions process through FCM, they are assigned a one character code called a Transaction Indicator, before they post to FCM history. These TIs identify the type of transaction processed or action that FCM has taken with the transaction. They can be helpful when used as a filter in conducting queries. Following is a list of FCM assigned Transaction Indicators:

- A – Accrual action.
- B - Interfund Bill.

- D – Accrual/Disbursement. Will only occur when it is an issue by OMA.
- F – Cost Transfer. Will occur when A0_ (request for issue) is sent to OMA SARSS-1, or for a DS/RX (OMA) issue, or when OMA turns in to OMA.
- H – 100% duplicate record.
- I – Initial obligations for OMA to AWCF transactions. If an A5_ caused the initial obligation, FCM header will have TI of “I”, but detail history will show the A5_ with an “A” (accrual action). 2 separate web calls are conducted for this condition.
- K – Transaction rejected (not accepted) from Error Correction.
- M – Credit for OMA turn-in to AWCF.
- N – No financial impact. There was no web call sent to ODS for obligation, accrual, credit or disbursement.
- O – Obligation adjustment.
- T – Obligation/Accrual/Disbursement. Will only occur when A5_ was the first transaction received by FCM as the result of an issue from OMA.
- V – Transaction Validation report.
- Z – FCM record not as a result of conversion that is closed.
- C – Conversion record that was open in ISB/AFCOS at time of conversion. Both the header and detail history will have TI = C. Detail history will include all SARSS records on CTASC at time of conversion.
- M – All records that were open on the depot and customer return summaries at time of conversion.

- N - All records that were active in SARSS with no record in ISB at time of conversion.
- X – Conversion records that had a closed document date in ISB at time of conversion.
- **Credit Tracking** – Contains credit information by customer turn-in that will identify the expected credit that should be returned, and the actual credit amount processed.
- **Data Synchronization** – Provides the daily synchronization information and contains those transactions that need review and action.
- **User Profiles** – Contains user profile information.
- **Catalog Information** – Contains the catalog price on all items. This information will be updated in accordance with changes to the Army portion of FEDLOG. When changes are made, this component will update all obligation transactions that have come through SARSS and are sitting in ODS. FCM will also make obligation adjustments for catalog change impacted transactions that are in STANFINS/DJAS.
- **APC and EOR Tables** – Tables contain data elements FCM will use to assign APC and EOR for funds management in STANFINS/DJAS.
- **STANFINS/DJAS.** An added feature FCM will have is the ability to conduct a web service call with ODS to access nxg/lxg information that is in STANFINS.

FCM will pass impacting financial information to ODS. There are 4 basic types of information that will be sent to ODS to pass to STANFINS or DJAS:

- **Initial Obligation:** The first transaction to process in the supply system

- **Obligation Adjustment:** Change to the obligation amount due to quantity change, unit price change, unit of issue change, APC/JO change, FY Adjustment/Change, or Cancellation. There should not be an Obligation Adjustment unless a prior Initial Obligation has been established.
- **Accrual information:** This is the result of a supply receipt and/or issue. An obligation must exist prior to Accrual information being passed.
- **Cost Transfers (O&M to O&M information):** Two transactions, one for the activity (APC and DODAAC) that will be debited (charged), and the other for the activity (APC and DODAAC) that will receive the credit. ODS, in turn, will pass financial impacting information to FCM:
- Interfund Bill disbursement information (positive or negative amounts).
- Reconciliation information to include a placeholder for something that is known to be out of sync.

There are two possible placeholders:

- Those transactions that will be eventually worked out as more transactions are processed.
- Those transactions that never appear to be able to be worked out. This placeholder is not manually input.

AT&T developed the concept for the Funds Control IT architecture, which incorporates the elimination of ISB across the Army, obligation on the initial supply request (A0_), establishment of a Funds Control process, and simplification of the supply-finance reconciliation process. Figure 8 displays the architecture that is under development.

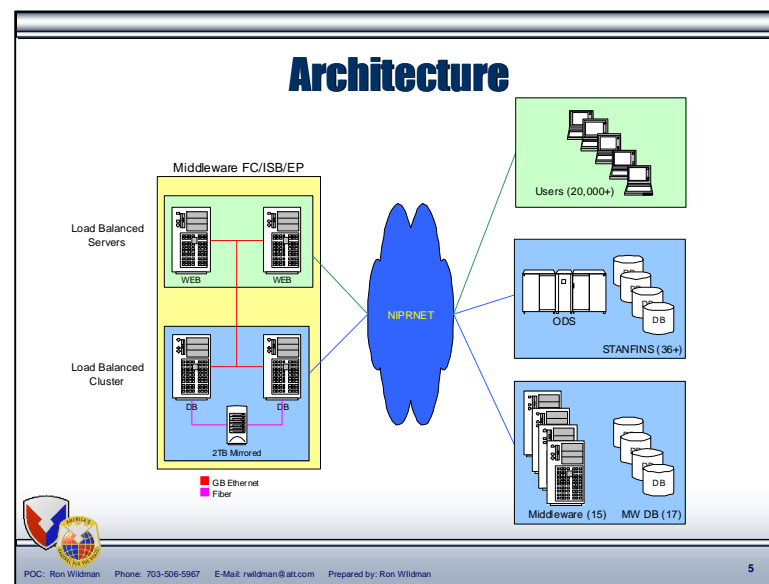


Figure 8. Draft Funds Control Architecture.

Using FCM IT Architecture, supply information will pass to the data portion of the Funds Control Module. Each of the SARSS OSC, S9B, 080 and F09 files will pass to the Module. In this way, initial obligations and obligation adjustments will pass to ODS continuously throughout the day. ODS will pass back the Interfund Bills, to the Module continuously throughout the day. Users will be able to enter the module through the web server to view and change logistical and financial information based on designated roles and privileges.

With the new MW IT Architecture, all of the information from the Middleware and CTASC databases, and the 36+ STANFINS/DJAS systems will be caught and funds availability will be continuously updated throughout the day. The 6,000+ anticipated users will then be able to query this information when needed, via a NIPRNET based website which will provide current and accurate information regarding availability of funds. FCM will provide the theater commander with more flexibility to support contingency operations from a financial perspective. He can elect to use disconnect/reconnect and support all deployed SARSS-1 activities from a single CTASC, or he can opt to maintain the habitual

support relationship between SARSS-1 activities and their CTASC, and view summary numbers in FCM. Figure 9 shows the two options.

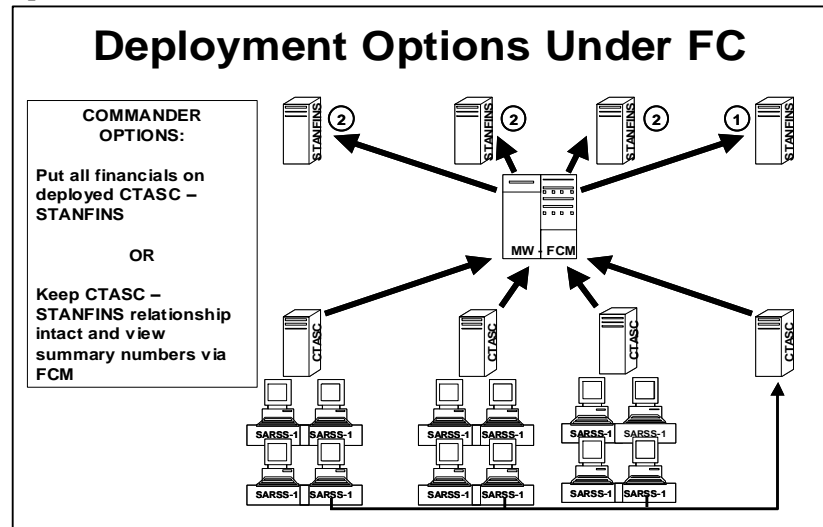


Figure 9. Deployment Options Under Funds Control Module

6. What are the expected benefits of Funds Control?

Funds Control executes a Secretary of the Army's Business Initiative Council (BIC) effort and provides a bridge to GCSS-Army Enterprise Resource Planning (ERP) solution by achieving 4 main objectives. Figure 10 lists the objectives, general methodology of achieving those objectives, and the benefits to be derived from Funds Control.

- **The elimination of ISB/and the F09 functionality in AFCOS will:**
 - Realize an annual maintenance cost savings
 - Preclude potential CFO violations by preventing the possibility of manipulating logistical transactions prior to their entry into the financial system.
 - Reduce processing time between initial requisition and obligation in STANFINS/DJAS.

- Simplify processing for “off-post” customers.
- Eliminate non-accounting system (ISB) from DFAS inventory and corresponding non-accounting DFAS missions.
- **Obligating the customer's funds on the initial supply order/request will:**
 - Pave the way for CFO compliance, and is in keeping with DOD guidance.
 - Simplify and standardize the obligation process across the Army.
 - If no funds are available, route the request to a NSF file or reject and prevent an obligation from occurring until funds become available.
- **A uniform automated Funds Control process across the Active Army, Army Reserves and Army National Guard will:**
 - Provide standardized near-real time Funds Control for all Army forces.
 - Align Funds Control within SARSS/FCM and Financial Management within STANFINS/DJAS.
 - Allow the Funds Control process to be updated with actual credit information.
 - Allow logisticians and financial personnel to view the same information in a single system.
 - Allow the field to view Funds Control continuously, and make necessary adjustments to tables, fund ceilings, etc.
 - Allow the field to control funds by DODAAC, and view by APC, Financial Work Center, or Customer Fund Code.
 - Provide financial visibility of cancellations, credits, and other financial impacting transactions.

- Reduce accounting challenges at fiscal year-end.
- Relieve the MACOM of the burden of developing independent workarounds.
- Provide the field with more control over funds, while keeping Funds Management in STANFINS/DJAS.
- **Simplifying the supply to finance reconciliation process will:**
 - Eliminate the requirement for two monthly (SARSS to ISB and ISB to STANFINS/DJAS) reconciliations.
 - Establish daily data synchronization between SARSS/FCM and ODS/STANFINS/DJAS.
 - Reduce the need for supply and financial systems downtime.
 - Provide a standardized data synchronization process across the Army.

Changes & Benefits

Objective	Today	Tomorrow	Benefits
Eliminate financial requirement for sterile SARSS boxes during deployment	Financial & logistical challenges during alert, marshal, & RSOI phases	MW-FCM eliminates off-post customers from financial point of view	<ul style="list-style-type: none"> • Reduces soldier workload • Reduces coordination requirements • Quicker deployment times • Faster establishment of in-theater supply support
Eliminate ISB across the Army	36 ISB across AC & AR and SABERS for NG	MW-FCM passes everything to ODS	<ul style="list-style-type: none"> • Savings/cost avoidance • Transactions pass near real-time • Simplifies process for off-post customers
Obligate on the initial supply order/request (A0_)	Obligates on first positive status for AA & AR; on first transaction for NG	Obligates on first transaction entering SARSS system	<ul style="list-style-type: none"> • Simplifies obligation process • Standardizes across Army • Suspends transaction if no funds • Allows obligation matching in ODS
Establish a robust customer Funds Control process	Counters at SARSS-2AC level, which is past point of initial request	Checks for funds availability if first action within SARSS	<ul style="list-style-type: none"> • Incorporates credits & cancellations • Allows Log & RM to view same data • Control funds at multiple levels • Error transactions are CFO compliant
Simply customer level supply-finance reconciliation process	Monthly SARSS to ISB, and ISB to STANFINS reconciliation	Daily reconciliation between SARSS/MWFCM & ODS/STANFINS	<ul style="list-style-type: none"> • Eliminates two monthly reconciliations • Eliminates need for down-time • Passes ODS/STANFINS data to FCM • Standardizes process across Army

Figure 10. Benefits of Funds Control

7. How will Funds Control differ from how the Army operates today?

A comparison between the current logistics and financial environment and how the future environment will look under Funds Control can best be appreciated by viewing them through the four objectives of Funds Control.

▪ **Eliminate ISB/F09 Functionality in AFCOS.** As mentioned previously, today logistics transactions that pass from SARSS to the wholesale system, are processed through a non-accounting financial buffer (ISB) or AFCOS before they are forwarded to STANFINS/DJAS. ISB performs 3 basic functions: processes interfund bills, reformats the F09 from SARSS to MILSBILLS format for STANFINS/DJAS, and reconciles supply and financial records on a monthly basis – between SARSS and ISB, and between ISB and STANFINS/DJAS. Under FC, these functionalities will be transferred to FCM or ODS, thereby

eliminating ISB, resulting in a cost savings/cost avoidance to the Army. Tomorrow, logistical transactions will be processed directly from SARSS/MW/FCM in a DFAS designated format to ODS, and ODS will format and send to STANFINS/DJAS.

- **Obligate on the Customer Request.** Today when a customer submits a requisition, it is considered a commitment. He is not obligated until the first positive status passes through ISB and posts in STANFINS/DJAS. Under FC, the customer will submit a requisition (A0_, AT_, AM_) through SARSS, and if funds are available, the transaction will pass through CTASC/MW/FCM to ODS/STANFINS/DJAS, and the obligation will be set up on the A0_. For requisitions not initially captured in SARSS (processed off-line), the Funds Control process will obligate with first positive status, as it does today.

- **Establish Robust Funds Control Across the Army.** Current fund control procedures and mechanisms vary by command and/or installation. Some use the fund counters and dollar edit parameters available in SARSS. Unfortunately, SARSS does not add credits and cancellations to its counters, so adjustments must be made manually to keep the counters current. The National Guard uses IMAP between the customer and SARSS to ensure funds availability. As a whole, the uniformity that Funds Control promises does not exist in today's environment. Tomorrow, there will be a uniform process across the Active Army, Army Reserves and Army National Guard. A Funds Control Module will be established. Designated managers will be able to set/change funding levels in FCM. Balances will be adjusted as transactions are processed through FCM – initial supply transactions (A0_) will decrement, and credits and cancellations will increase the funds balance. A Funds Availability Switch will be maintained at the SARSS-1, and can be adjusted in the FCM. The SARSS-1 will conduct a funds check on initial supply transactions – if funds are available, the SARSS-1 will issue against or pass the transaction, as appropriate. Other dollar edits currently available in SARSS will remain in tomorrow's system. The Funds Control process will apply a funds check for temporary DODAAC (customers). Figure 3 shows how Funds Control will work in the future.

- **Reconcile Supply and Finance Systems Daily.** Presently a monthly reconciliation between supply and finance must be conducted between SARSS and ISB, and then between ISB and STANFINS/DJAS. This can require an extensive amount of system downtime. With Funds Control, daily reconciliation will be conducted between SARSS/FCM and ODS/STANFINS/DJAS, eliminating the two reconciliations mentioned above and eliminating the financial system downtime, making the reconciliation process manageable and timely. Transaction validation via web calls between FCM and ODS will prevent the accumulation of mismatches to be worked at month end. One measure being taken is the end of the day comparison of the transactions passed from the SARSS-1 OSC files with the end of day F09 file. This comparison will ensure that all transactions on the F09 file were also passed to ODS that day, thus ensuring a smoother daily reconciliation. Any transactions not passed will be passed at that time. Another advantage is that the ODS/STANFINS/DJAS data is being 'swept' in to the FCM so that all information is current when reconciliations are performed. Catalog updates will be automatic, adjusting prices on obligated transactions. This reduces the number of candidates that today appear on the reconciliation due to differences in what was originally obligated and what ended up being billed to the customer. Finally, this will provide a standardized data synchronization process across the Army.

8. What are the rules of engagement for Funds Control?

As was the case with Single Stock Fund (SSF), the business rules for Funds Control represent the foundation for all planning. These business rules are driving Army policy, procedures, and information technology solution decisions for Funds Control. The Business Rules SOP prescribes policies, responsibilities, and procedures for developing and modifying SSF business rules. Suggested changes may be submitted in the standardized format for proposed change recommendations. Figure 11 lists the Funds Control Business Rules, as of 10 February 2005.

Funds Control Business Rules (As 10 February 2005)		
FC Business Rule	FC Implementing Procedure	Description
FCBR 1		Eliminate ISB/SABERS/IBO (Interfund Bill Off-line) across the Army.
	FCIP 1.1	ODS/STANFINS will process interfund bills only for STANFINS/DJAS accounting systems until future date TBD, i.e., related to LMP and SOMARDS.
	FCIP 1.1.1	DAAS will route interfund bills to DFAS-IN.
	FCIP 1.1.2	Interfund bills will be processed using obligation matching processes for debit bills only except FD1.
	FCIP 1.1.3	The processing of turn-in Credit detail Interfund bills will use credit table matching process.
	FCIP 1.1.4	The processing of Credit detail Interfund bills will not use credit table matching process (not related to turn-in).
	FCIP 1.1.5	ODS will create a new output interfund bill bridge file from ODS to the appropriate accounting system.
	FCIP 1.2	Funds Control Module (FCM) will submit ABA 2 financial impacting transactions to ODS in DFAS designated formats.
	FCIP 1.3	Deleted.
	FCIP 1.4	The user will have access to installation specific data through FCM, and download capability through FCM.

FC Business Rule	FC Implementing Procedure	Description
	FCIP 1.5	There will be update and error correction functionality to include upload capability for correction data.
	FCIP 1.6	There will be a Conversion Process with the elimination of ISB, and the elimination of processing the SARSS F09 in AFCOS.
	FCIP 1.6.1	Deleted.
	FCIP 1.6.2	The information from the ISB Depot Return Summary, Customer Return Summary, and AFCOS data will be used to set up credit information in FCM.
	FCIP 1.6.3	The MRF and Suspense files will be cleared prior to conversion.
	FCIP 1.6.4	The ISB AR_DOC_SUM and NG AFCOS data will be used to establish FCM History baseline for future obligations/deobligation transactions.
	FCIP 1.6.5	Documentation of unliquidated obligations in STANFINS will be in the Fund Control Module at Conversion.
	FCIP 1.7	Accounting system generation of obligation and disbursements will be sent back to FCM for adjustments to obligation history file (equivalent to ISB AR_DOC_SUM).
	FCIP 1.8	FCM will provide greater flexibility in assigning APCs to assist in the handling of USAREUR DLR financial management processes (STARFES), and other MACOM DLR financial management processes.

FC Business Rule	FC Implementing Procedure	Description
FCBR 2		Obligate on the initial supply transaction.
	FCIP 2.1	Obligation will occur on A0_ (DM or FD) quantity supply transaction after the record has passed funds check.
	FCIP 2.2	SARSS needs to provide off-line processing capability.
	FCIP 2.3	Requisitions not initially captured in SARSS (off-line) will be obligated with the first positive status.
	FCIP 2.4	Supply transactions (i.e., AT_, AM_, A5_, D6S, etc.) not already established in FCM will be obligated (this includes walk-thrus).
	FCIP 2.5	Deleted.
	FCIP 2.6	The Local Purchase process must address RIC SOS equal LPC or Status equal CP, CW or DA.
	FCIP 2.6.1	Deleted.
	FCIP 2.7	Accruals will occur on issues and receipts.
FCBR 3		There will be a uniform automated fund control process across the Active Army, Army Reserves, and Army National Guard.
	FCIP 3.1	Access to FCM will be via web portal.
	FCIP 3.2	Funding levels can be maintained and/or changed as situation warrants.

FC Business Rule	FC Implementing Procedure	Description
	FCIP 3.2.1	The SARSS managers by Commander approval will have the capability at the CTASC level to set a DODAAC's FAS value for emergency suspend, and for urgent need during a communications failure. This capability may be established for a DODAAC only, and may not be set by FIN-RIC or FIN_WRK_CTR.
	FCIP 3.3	Management of funds may be by FIN_WRK_CTR. Reports, queries, etc., may be managed by FINRIC, DODAAC, APC/Customer Fund Code, FIN_WRK_CTR, SARSS-1, Operating Agency (OA), Basic Symbol Number (BSN), Army Management Structure (AMS), or Program Director (Major or Minor).
	FCIP 3.4	FCM will incorporate requisitions, cancellations, turn-ins (credits) and other adjustments. Specifically, funds will be decreased as supply requisitions are processed, increased based upon creditable turn-ins, etc., processed.
Proposed Change	FCIP 3.5	The Request for Issue Interactive (A0_) initiated and processed at the SARSS-2AC will check funds and, if funds available, will process through SARSS.
	FCIP 3.6	Off-line requisitions not obligated will process through and decrement the Fund Control Module upon entering SARSS, only if DOCNO has not been previously processed through other means, i.e., manual obligation, Interfund Bills, etc.

FC Business Rule	FC Implementing Procedure	Description
	FCIP 3.7	Supply transactions (i.e., AT_, AM_, A5_, D6S, etc.) not already established/obligated in FCM will adjust the fund counters regardless of funds availability (this includes walk-thrus).
	FCIP 3.8	A check for funds availability will be established at SARSS and updated by FCM as necessary.
	FCIP 3.9	Transactions that do not pass the funds availability check will be suspended until funds become available, or the transaction is rejected. The requestor will be informed by status that the transaction has been suspended.
	FCIP 3.9.1	Transactions that pass the funds availability check and fail the SARSS high dollar edits will be suspended until manager approval or rejected. The requestor will be informed by status that the transaction has been suspended or rejected.
	FCIP 3.10	For suspended transactions, after a set number of days, there will be automatic action (i.e., rejection or cancellation).
	FCIP 3.11	A warning will be issued when the FCM is decremented to within a given dollar value - amount to be set by the Funds Manager.
	FCIP 3.12	The Fund Control Process will accommodate processing requisitions for temporary or off-post customers.
	FCIP 3.13	FCM will not do Funds Control processing for prior year obligations.

FC Business Rule	FC Implementing Procedure	Description
FCBR 4		Reconciliations will be performed between SARSS/FCM and ODS/STANFINS.
	FCIP 4.1	FCM will be reconciled against ODS/STANFINS daily.
	FCIP 4.1.1	SARSS will be reconciled against FCM.
	FCIP 4.2	Records will be retained IAW the appropriate regulations, i.e., AR 25-400-2, DoD 7000.14-R, DFAS 5015.2-M, etc.
FCBR 5		Fund Control will be integrated with other emerging programs (i.e., Exchange Pricing and CSCM-A) and replaced by the ERP solution.
FCBR 6		All legacy investments in Fund Control will be validated and blueprinted as part of the Army Logistics Enterprise Architecture for migration to future systems (i.e., GCSS-Army/LMP).
FCBR 7		Funds Control must accommodate Year-end process across fiscal years without adverse effect on appropriations or mission (i.e., by increasing financial workload at installation, including any automation systems).

FC Business Rule	FC Implementing Procedure	Description
	FCIP 7.1	A year-end process must be established within FCM.
FCBR 8		Procedures will be developed to address Funds Control under contingency operations.
	FCIP 8.1	DODAAC transactions (requisitions, turn-ins, bills, etc.) will be split between multiple Fiscal Station Numbers (FSN).
	FCIP 8.2	Procedures will be developed to address communication failures.

Figure 11. Funds Control Business Rules

9. What is the Army's strategy for success with Funds Control?

The goal is to implement Funds Control throughout the Army in FY 05/06. Through backward planning, a four-phased strategy (see Figure 12) has been executed to meet that goal.

- Phase 1 Requirements Determination. Initial Funds Control business rules and implementing procedures were developed; detailed requirements and process flows were outlined, and the initial systems architecture to support this initiative was determined. The products of Phase I have been driving Doctrine, Training, Leader Development, Organization and Materiel (DOTLOM) changes required for implementation of Funds Control across the Army.

- Phase 2 Business Process Reengineering. Detailed Functional Descriptions (DFD) and Engineering Change Packages (ECP) were formalized. Other products that were generated include the draft Systems Integration Test (SIT) Plan, Metrics Plan, Training Strategy, and the Draft Implementation Plan.

- Phase 3, Systems Modification and Testing. The Central Design Agencies' (CDA) systems changes have undergone a formal review and approval process, and the Systems Integration Test Plan, Conversion and Implementation Plan, and Training Plan are being finalized. The first cycle of an integrated Systems Integration Test (SIT) was conducted in Apr/May 05, and the Pre-Lead Site Verification Test (Pre-LVST) will run from the end of October through mid December 2005.

- Phase 4, Training and Fielding. A Lead Verification Site Test (LVST) will be conducted with the 8th U.S. Army and Texas National Guard CTASCs prior to Army-wide implementation. A centralized implementation team will guide and assist the converting sites through training, conversion and implementation.

10. What is the Implementation Strategy for Funds Control?

Due to the interdependence of SARSS-1 sites and their supporting SARSS-2AC, fielding must be conducted by entire CTASC. As a result, all SARSS-1 under a SARSS-2AC, their supported customers and supporting non-accounting DFAS systems (ISB/AFCOS) will convert to Funds Control at the same time. Prior to Army-wide implementation, a Lead Verification Site Test (LVST) will be conducted from 7 Jan – 17 Feb 06 with all activities associated with the 8th U.S. Army CTASC in Korea and the Texas National Guard CTASC at Fort Gillem, GA. The remaining Army CTASCs are programmed for follow-on conversions in 3 monthly increments during 1st Qtr, FY 06. Figure 12 lays out the current timeline for fielding.

The rapid fielding schedule that has been adopted precludes on-site placement of training and implementation teams. Instead, training, conversion and implementation will be accomplished through a cooperative effort by the converting MACOMs and the centralized implementation team that will be located in Colonial Heights, Virginia. This team will serve as the coordinating hub between converting activities, Central Design Agencies, and the AT&T teams responsible for requirements, testing, conversion, training, and programming of Funds Control. The implementation team will:

- Conduct weekly teleconferences with converting activities
- Answer training related questions for logistics and finance managers
- Assist the target audience with access and use of Funds Control training media
- Monitor and guide converting activities through the Conversion Sequence of Events (Appendix B of this document and Appendix D, Volume 2, Funds Control Implementation Plan)
- Help resolve conversion/implementation impacting issues
- Prepare a training/implementation After Action Report (AAR)

Approximately 120 days prior to conversion, the Implementation Team will contact the converting MACOM/CTASC POC to help coordinate a specific training strategy for the command, and schedule an agreeable time for weekly teleconferences with Installation/Field Logistic Activities, Resource Managers and servicing DFAS/USPF&O. The weekly teleconferences will begin 90 days prior to conversion and will be used to discuss requirements for establishing Funds Control Module (FCM) User roles and permissions, answer training related questions, assess progress on the Sequence of Events, and resolve conversion-impacting issues. The Implementation Team will remain actively engaged in supporting all training and fielding efforts from Colonial Heights, Virginia to include problem resolution, from 90 days before until 30 days after conversion.

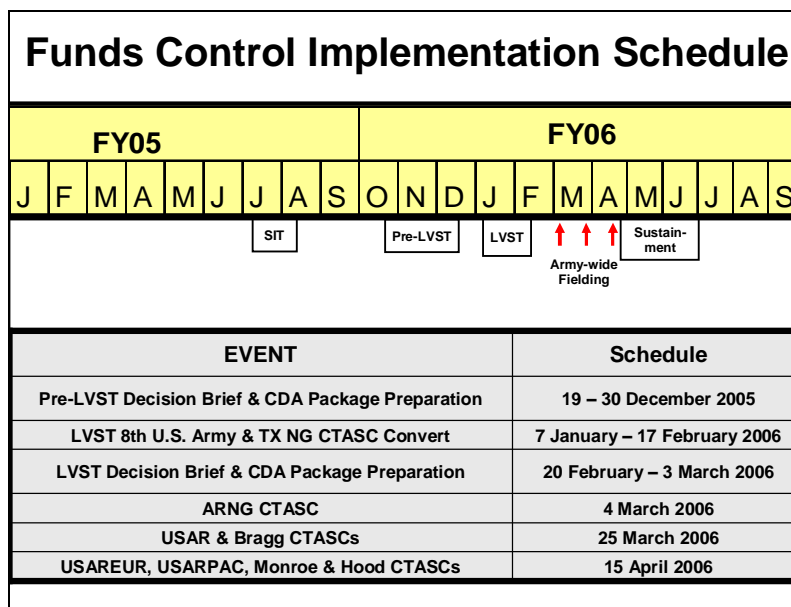


Figure 12. Funds Control Implementation Schedule

11. Once It Comes on Line, How Do I Access Funds Control Module

There are 2 key points to consider once you decide to request user access to Funds Control. First, identify what roles and privileges you will hold with regard to FC, and second, make sure you have an Army Knowledge On-line (AKO) user id and password.

Approximately 60 days prior to fielding, the Implementation Team will work with designated Systems Administrators to make sure financial and logistics managers have required system access to FCM. Access to various functionalities in FCM will be granted to individuals based on their designated roles, and consequent privileges. A role is a position that has responsibility to perform specific functions. An example of a role is the Manager - Financial – Level A. A privilege is a formal permission assigned to a role. In the case of our example, by virtue of their role, some of the privileges or permissions the Manager - Financial – Level A would have include running reports, receiving error messages, and

viewing data synchronization. There are 3 basic privileges that can be granted based on designated role(s): systems privileges, logistical privileges, and financial privileges. Figure 13 shows the systems privileges that various roles would have. A more detailed explanation of roles and privileges is provided in the FC Conversion and Implementation Plan, as well as the FCM Desktop User's Manual.

ROLES	SYSTEM PRIVILEGES																			
	SYSTEM ADMINISTRATION										LOGISTICAL					FINANCIAL				
	System Administrator	Establish, Change & Delete Users	Establish, Change & Delete User Privileges	Multi MACOM Data Access	Table Updates, Backups, Creating Roles, etc.	Run Reports	Produce Queries	Data Synchronization - View	Data Synchronization - Receive Reports	Receive email messages	Receive error messages	Logistical History - View	Catalog Information - View	Track Turn-ins - View	Financial History - View (Obligation, Accrual, Disbursement, etc.)	PADR - View	PADR - Set	PADR FAS - Set	Error Correction - Input	Transaction Adjustments
FUNDS CONTROL MANAGER	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Manager - Departmental - Level		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
MANAGER - FINANCIAL - LEVEL A		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
MANAGER - FINANCIAL - LEVEL B					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
MANAGER - FINANCIAL - LEVEL C					X	X	X					X	X	X	X	X		X	X	X
USER - FINANCIAL					X							X	X	X	X	X		X	X	X
MANAGER - LOGISTICS - LEVEL A		X	X		X			X	X			X	X	X					X	
MANAGER - LOGISTICS - LEVEL B					X			X	X			X	X	X					X	
USER - LOGISTICAL					X	X						X	X	X	X	X			X	

Figure 13. Sample of Funds Control Roles & Privileges

The only way you will be able to log into FCM will be with AKO credentials. FCM will pass your entered name and password through to the AKO server to authenticate them. When you first login to FCM, you will be taken to a registration page where you will enter the information related to being a user of FCM. Your access will be granted IAW designed roles and consequent privileges by your Level A Financial or Logistics Manager. Figure 14 shows a sample log-in screen.

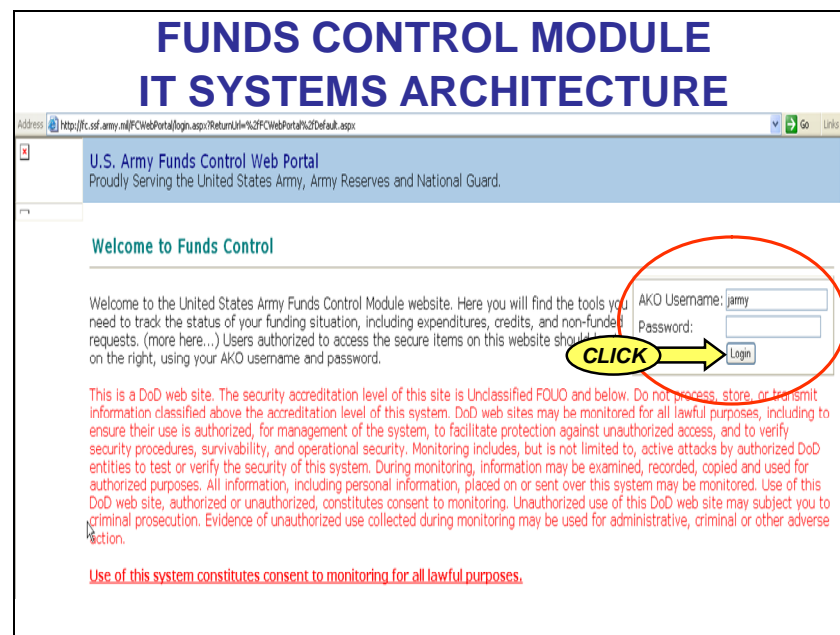


Figure 14. FCM IT Systems Architecture

12. What is the Training Approach for Funds Control?

Training will be accomplished through self-paced, web-based training. A series of lessons is currently under development. These lessons will reside on the Funds Control Module (FCM) server. Individuals who have been granted access to FCM by their designated Financial or Logistics Level A Manager will be able to review each lesson, and upon completion, take an examination to test their comprehension. Test results will be available for designated Systems Administrators to review, and if necessary, direct retraining.

Many of the training lessons will be oriented towards a general audience, while more technical information will be targeted to specific functional audiences. As an example, both logistics and financial managers need to understand the Funds Control business

rules, process changes, and systems architecture. Both need exposure to conversion and implementation procedures. And while both need to be familiar with standard reports in FCM, only the financial managers need to learn how to load tables, establish/maintain funds availability, and work the exception report that results from the supply to finance data synchronization process.

While hands on training on FCM will not be available, to the extent possible, actual screen prints will be incorporated into the training lessons. A detailed explanation of each screen will be provided to assist users in familiarizing themselves with system functionality and capabilities.

The Implementation Team in Colonial Heights will continue where the self-paced web-based training ends by offering follow-on assistance to both financial and logistics managers during the weekly scheduled teleconferences. The team will also be available to answer questions that arise during execution of pre and post conversion events. The goal is to facilitate a smooth transition to the new Funds Control environment.

After conversion, additional user tools will be available in FCM. A database of Frequently Asked Questions (FAQ) and answers will be maintained on FCM. As new questions surface from user input, they will be added to the database to assist others who may have the same question. There will also be pop-up screens to assist users in understanding and using the various menus in FCM. The Fund Control Module Desktop User's Manual will also be available as a reference guide intended for FCM end users. It will provide a summary of system functionalities, as well as screen prints and specific instructions for end users to operate in a Funds Control environment.

13. What can I do to get ready for Funds Control?

Commit to success.

Learn all you can about Funds Control. Read the Smart Book and the FC Training, Conversion and Implementation Plan. Access the Single Stock Fund Middleware website at

<http://www.ssf.army.mil/ssfweb/desktopdefault.aspx> and review the sample training lesson titled "Introduction to Funds Control". To download and view this presentation with Windows Media Player, click on the Funds Control tab, scroll down to "Download FC Training Files", and click on "Intro to FC".

Starting in October, 2005, you will be able to access FCM and view/download the self-paced, web-based lessons for this program. After reviewing each lesson, take the exam to test your understanding of the Funds Control conversion process, business rules, systems architecture, tables maintenance, cataloging process, transaction flows and edits, data synchronization process, credit tracking, deployment considerations, and reports. All lessons and exams should be completed prior to the FC Training Team arriving at your location to conduct additional classroom instruction (on or about 60 days prior to conversion).

Develop an understanding of the key changes that are headed your way. Become familiar with the Funds Control Business Rules and the Sequence of Events (SOE) outlined in this document and the Implementation Plan. If you have questions, contact the Funds Control Team for assistance.

- Beverly Christian bbchristian@att.com
- John Franks john.franks@ingenuityinc.net
- Marie Burnette kmburnette@att.com

As you approach implementation, partner with your supporting Implementation Team for all training and fielding related issues. Approximately 90 days prior to conversion, the FC Implementation Team lead will initiate weekly (or as agreed upon) teleconferences with the MACOM, CTASC, ISB, and Supply and Resource Managers from supported installations. The Implementation Cell is the Program Manager's representative who will guide installation managers through the conversion and implementation processes.

Do your supply to finance reconciliations. That means running and working customer to SARSS-1, SARSS-1 to CTASC, CTASC to ISB and ISB to STANFINS/DJAS recons. This must be a cooperative effort among supply and finance managers. One will succeed or fail without the other. The only way to ensure a smooth transition to

Funds Control is to make sure supply and finance records are in synch. Avoid the old adage, “garbage in, garbage out.”

While the Smart Book contains a synopsis of the Funds Control Program, more comprehensive details can be referenced in supplemental materials to include the Funds Control Conversion and Implementation Plan, and the Funds Control Module (FCM) Desktop User’s Manual.

APPENDIX A. FUNDS CONTROL ACRONYMS

AAR – After Action Report
AFCOS – Automated Funds Control Order System
AID – Account Identification Data (on FADR)
AKO – Army Knowledge On-line
AMC G-3 EI – Army Materiel Command, G-3, Enterprise Integration
AMS – Army Management Structure
APC – Account Processing Code
APN – Appropriation
APN_FY_DSG – Appropriation Fiscal Year Designator
APN_LMT – Appropriation Limitation
ASA (FM&C) – Assistant Secretary of the Army, Financial Management and Comptroller
AR_DOC_SUM – Accounts Receivable Document Summary
ASN – Allotment Serial Number
AWCF – Army Working Capital Fund
BIC – Business Initiative Council
BLL_CD – Bill Code
BSN – Basic Symbol Number
CDA – Central Design Agency
CFC – Customer Fund Code
CFO – Chief Financial Officer
CTASC – Corps Theater Automated Data Processing Service Center
DA – Department of the Army
DBOF_IND – Defense Business Operating Fund Indicator
DFAS – Defense Finance and Accounting Service
DFD – Detailed Functional Descriptions
DFMS – Depot Level Repairable Financial Management System
DIC – Document Identifier Code
DJAS – Defense Joint Accounting System
DLR – Depot Level Repairable
DOCNO – Document Number
DOD – Department of Defense
DODAAC – Department of Defense Activity Address Code
DoJoCon – Single table in FCM that contains data from the ISB DODAAC, Job Order Assignment, and Customer Control Tables
DOTLOM – Doctrine, Training, Leader Development, Organization and Materiel
ECP – Engineering Change Proposal
EFF_DT – Effective Date
EOR – Elements of Resource
ERP – Enterprise Resource Planning
FADR – Funds Account Data Record
FAQ – Frequently Asked Questions

FAS – Funds Availability Switch
FC – Funds Control
FCM – Funds Control Module
FEDLOG – Federal Logistics Record
FIN_RIC – Financial Routing Identifier Code
F09 – Financial Interface file from SARSS document history process
FINLOG – Financial and Logistical Interface Program
FIN_WRK_CTR – Financial Work Center
FORSCOM – Forces Command
FPC – Funds Processing Code
FSN – Fiscal Station Number
FY – Fiscal Year
GOWG – General Officer Working Group
IAW – In Accordance With
IBO – Interfund Bill Off-line
IMA – Installation Management Agency
IMAP – Integrated Materiel Automation Program
IPG – Issue Priority Group
ISB – Installation Supply Buffer
IT – Information Technology
JO – Job Order
LMP – Logistics Modernization Program
LVST – Lead Verification Site Test
LPC – Local Purchase Code
MACOM – Major Command
MATCAT – Materiel Category Code
MDEP/SODP – Management Decision Package/Special Operating Decision Package
MILSBILLS – Military Standard Billing System
MRF – Manager Review File
MW – Middleware
NIPRNET – Non-Classified Internet Protocol Router Network
NSF – Non-Sufficient Funds file
OA – Operating Agency
ODS – Operational Data Store
O&M – Operations and Maintenance
OMA – Operations and Maintenance, Army
PD_MAJ – Program Director Major
PD_MIN – Program Director Minor
POC – Point of Contact
PROJ – Project Code
RIC FIN – Routing Identifier Code Financial
RIC_SGE_SITE – Routing Identifier Code Storage Site
RIC_SOS – Routing Identifier Code Source of Supply

RP – Record Position
SARSS – Standard Army Retail Supply System
SIT – Systems Integration Test
SITWG – Systems Integration Test Work Group
SOE – Sequence of Events
SOMARDS – Standard Operation and Maintenance Army Research and Development System (Accounting)
SOP – Standard Operating Procedure
SSF – Single Stock Fund
STANFINS – Standard Finance System
STARFES – STARFIARS Front End System
SUSP_DT – Suspense Date
TRADOC – Training and Doctrine Command
TME_LST_UDT – Time Last Updated
UIC – Unit Identification Code
USAREUR – United States Army, Europe
USARPAC – United States Army, Pacific
USPF&O – United States Property and Fiscal Officer

APPENDIX B. FC SEQUENCE OF EVENTS

Note: this Sequence of Events is based on the assumption that all SARSS-2AD will be removed from the Army inventory prior to implementation of Funds Control. Where SARSS-2AC Manager is referenced below, the SOE infers the responsible SARSS manager will accomplish the listed task.

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
1	FC Implementation Team	Contact MACOM POC to coordinate training strategy and weekly teleconference schedule; review FC Implementation Plan, Sequence of Events, and FC Desktop User's Manual; discuss requirements for establishing FCM User Roles and Permissions.	C-120	C-110
2	Installation/Field Logistic Activity	Coordinate with Resource Manager and supported supply activities to schedule at least one to two SARSS-1 to CTASC reconciliation(s) so that candidate listings are worked off before Conversion File Pulls are conducted at C-55, C-25, and C-3.	C-120	C-91
3	Servicing DFAS Site Activity, CTASC Administrator,	Coordinate with CTASC Administrator and verify scheduling of monthly SARSS to ISB reconciliation. Ensure the ISB to STANFINS reconciliation is scheduled monthly, so that all candidate listings are worked off before Conversion File Pulls are conducted at C-55, C-25, and C-3. Note for ARNG: AFCOS to STANFINS reconciliation can be run in ACCESS.	C-120	C-91
4	Servicing DFAS Site Activity, Installation Resource Managers	As part of the reconciliation efforts, the following additional actions are also recommended:	C-120	C-91
4a	Servicing DFAS Site Activity, Installation Resource Managers	Run duplicate check of the LXG to determine if there is more than one record for each document number. Condition may be caused by different LI code, APCs, FYs, EORs or ODC. Research these lines for possible deobligation or merger prior to conversion.	C-120	C-91

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
4b	Servicing DFAS Site Activity/Installation	Verify the LI code "A" for on-post SARSS customer transactions and ODC of "1" for 26_ and 31_ EOR.	C-120	C-91
4c	Servicing DFAS Site Activity/Installation	Validate off-post customer LI codes, and verify all off-post customer obligations with EOR 26_ and 31_ are valid.	C-120	C-91
4d	Servicing DFAS Site Activity, Installation Resource Managers	Conduct complete validation for offset document numbers.	C-120	C-91
4e	Servicing DFAS Site Activity, Installation Resource Managers	Scrub AR_Doc_Sum for transactions with no closed document date that should be purged (i.e. all amounts equal .00 with no record in SARSS and no closed document date on AR_Doc_Sum.	C-120	C-91
4f	Servicing DFAS Site Activity, Installation Resource Managers	Query AR_Doc_Sum for amount in commitment field, but no obligation amount. Note: these will be transferred over to FCM, and if active, will have no amounts populated.	C-120	C-91
4g	Servicing DFAS Site Activity, Installation Resource Managers	Compare Bill Code 11 (in what) to STANFINS APC Master File to ensure they are valid in STANFINS.	C-120	C-91
5	Implementation Team, Installation/Field Logistic Activities, Servicing DFAS Site Activity, Installation Resource Managers, CTASC Administrator, AMC CTASC Representative, Middleware Administrator	Initiate and conduct weekly teleconferences with converting CTASC, ISB/AFCOS and installation personnel to assess progress on Sequence of Events, answer training related questions, and resolve conversion/implementation impacting issues.	C-90	C-15

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
6	Installation/Field Logistic Activities, Installation DODAAC Coordinator, Servicing DFAS Site Activity, Installation Resource Managers, AMC CTASC Representative, LAISO, Middleware Administrator	Conduct DODAAC cleanup prior to migration to Funds Control Module. Compare and reconcile DODAAC records in ISB DODAAC Table, CTASC DODAAF, MW DODAAC Table, and DAAS. Verify correct UIC, RIC FIN, RIC GEO and Data COMMRI. Review current assignment of customer DODAAC under each FIN_WRK_CTR; determine if they need to be restructured to support command's concept of controlling funds. Coordinate with Installation DODAAC Coordinator, AMC CTASC Rep and DAAS to request deletion of inactive SARSS-1 RIC/DODAAC. Note for ARNG: compare and reconcile DODAAC records in AFCOS to CTASC DODAAF, MW DODAAC table and DAAS.	C-90	C-60
6a	Installation/Field Logistic Activities, Installation DODAAC Coordinator, Servicing DFAS Site Activity, Installation Resource Managers, SARSS-2AC Managers, AMC CTASC Representative, CTASC Administrator, LAISO, Middleware Administrator	NOTE: Currently the SARSS DODAAC record for the O&M RIC and DODAAC that was assigned to tactical Forward Distribution Points (SSA) for Single Stock Fund, Milestone 3 does not have an entry in the FIN_WRK_CTR field. If this field is not populated prior to loading the SARSS ICP for FC, SARSS will default to the O&M RIC of the SSA. If the responsible RM decides that a different FIN_WRK_CTR will be used to support the command's concept of controlling funds, it should be entered on the DODAAC record before the ICP is applied, or changed after the ICP is loaded.	C-90	C-60
7	Servicing DFAS Site Activity, Installation Resource Managers	Review and update, as required, the DODAAC, Customer Control and Job Order Assignment Tables in ISB in preparation for data migration to Funds Control Module. It is recommended that these tables be compared (i.e. Access) with each other to identify and correct mismatches. Note for ARNG: review skeleton DoJoCon for any updates	C-90	C-60
7a	CTASC Administrator, Middleware Administrator, Servicing DFAS Site Activity, Installation Resource Managers	ISB DODAAC Table. Make sure that all valid Army and Contractor DODAACs on the MW DODAAC Table are also loaded on the ISB DODAAC Table.	C-90	C-60

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
7b	Servicing DFAS Site Activity, Installation Resource Managers	ISB Customer Control Table. Make sure that all valid Army and Contractor DODAACs on the ISB DODAAC Table are also loaded on the Cus_Con_Tbl. Make sure each DODAAC/JO combination is valid and also loaded on the ISB Job Order Assignment Table. Make sure only Bill Codes 11 and 12 are loaded. Bill codes 13, 15, X2 and X4 must be removed.	C-90	C-60
7c	Servicing DFAS Site Activity, Installation Resource Managers	ISB Job Order Assignment Table. Make sure each DODAAC; Job Order, Customer Fund Code and default combination is valid and loaded on the Job Order Assignment Table. Note: under Funds Control, a default APC must be assigned. If one does not exist, recommend it be done prior to conversion.	C-90	C-60
8	MACOM Logistics Manager and Financial Manager Level 1, Installation/USP&FO Logistics and Financial Manager Level 2, & Division Financial Manager Level 2	Identify those personnel who will require access to FCM. Determine what roles and consequent privileges these users will be assigned. Ensure designated users have an active AKO account prior to granting systems access to FCM. Direct users to FCM training lessons and examinations. Note: Coordinate with servicing DFAS site to ensure designated personnel who will require access to FCM are provided a sponsor to obtain an AKO guest account.	C-90	C-60
9	MACOM POC, MACOM Logistics Manager and Financial Manager Level 1, Installation/USP&FO Logistics and Financial Manager Level 2, & Division Financial Manager Level 2	Coordinate with designated FCM users, and monitor progress on completion of all lessons and examinations on FC Training Module. Note: upon completion of each exam in FCM, users will be directed to provide their supervisor with printed confirmation of lesson completion.	C-75	C-60
10	Installation/Field Logistic & Finance Activities	Provide Implementation Team with update of SARSS Activity Listing for all RIC/DODAAC that will load the SARSS ICP for Funds Control. Include Point(s) of Contact, telephone number, and mailing address for change packages to be shipped.	C-60	C-30
11	Installation/Field Logistic Activity/ Servicing DFAS, USPF&O, Installation RM SARSS-1, SARSS-2AC Managers, and CTASC Administrator	Under the guidance of the Implementation Team, conduct first conversion file pull designed to assist in preparation for conversion to Funds Control.	C-55	C-50

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
11a	SARSS-1, SARSS-2AC Manager, and CTASC Administrator	At the end of daily processing, all SARSS-1 conduct closeout. Notify SARSS-2A/C manager of completed action. Do not conduct any further trans-outs or closeouts until notified by the CTASC Administrator.	C-55	C-55
11b	CTASC Administrator	Confirm all SARSS-1 closeouts have been received. Process daily F09 at CTASC. Conduct system backup and run designated SQL for conversion (ajudodaaf, ajumrf, ajrdohdr, ajrdoiss, ajrdorcpt, ajrdoship, and ajrdostat. FTP files to AT&T Conversion & Implementation Team.	C-55	C-55
11c	CTASC Administrator	Ensure FO9 is at the DFAS-Site, so DFAS can kick off the cycles that evening. The Servicing DFAS site activity will then have the error batches waiting the next morning.	C-55	C-55
11d	Servicing DFAS Site Activity	Collect designated files from ISB (AR_DOC_SUM, DPO_RTN_SUM, CUST_CON_TBL, NSN_EOR_TBL, EOR_ASG_TBL, JO-ASG-TBL, RIC_SRC_SPY_TBL, DODAAC_TBL, and ISB_TAC_HIS). FTP to AT&T Conversion & Implementation Team. Note for ARNG: collect AFCOS unliquidated and LXG.	C-55	C-54
11e	Servicing DFAS Site Activity	After STANFINS has processed final F09, collect designated STANFINS files (EOR_Table, APC Master, NXG (detail), LXG (summary). Confirm files are not corrupt before ftp to AT&T Conversion Team.	C-53	C-53
11f	Conversion & Implementation Team	Run conversion programs and distribute output reports to Installation/Field Logistics and Financial Managers.	C-53	C-51
11g	Installation/Field Logistics and Financial Managers	Research/work off conversion exception reports IAW FC Conversion and Implementation Plan.	C-51	C-45
12	MACOM POC, MACOM Logistics Manager and Financial Manager Level 1, Installation/USP&FO Logistics and Financial Manager Level 2, & Division Financial Manager Level 2	IAW established FCM roles and privileges ensure designated user's have required access, have completed FCM training, and have taken the FCM User's Examination.	C-45	C-30

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
13	Funds Control Manager and Installation/Field Logistics and Financial Managers	Finalize email addresses for FADR notification process for IPG 1&2 (DA G-4) and IPG 3 (MACOM).	C-45	C-30
14	Installation/Field Logistic Activity/ Servicing DFAS, USPF&O, Installation RM SARSS-1, SARSS-2AC Managers, and CTASC Administrator	Evaluate the need, and if necessary, conduct another SARSS-1 to CTASC reconciliation and work off candidate listings before monthly SARSS to ISB recon is conducted. Note for ARNG: run headers against AFCOS in Access.	C-40	C-33
15	Servicing DFAS Site Activity	Conduct SARSS to ISB and ISB to STANFINS reconciliation, and work off candidate listings before next conversion file pull on C-25. Note for ARNG: run SARSS to AFCOS and AFCOS to STANFINS in ACCESS.	C-33	C-28
16	Servicing DFAS Site Activity, Installation Resource Managers	As part of the reconciliation efforts, the following additional actions are also recommended:	C-33	C-28
16a	Servicing DFAS Site Activity, Installation Resource Managers	Run duplicate check of the LXG to determine if there is more than one record for each document number. Condition may be caused by different LI code, APCs, FYs, EORs or ODC. Research these lines for possible deobligation or merger prior to conversion.	C-33	C-28
16b	Servicing DFAS Site Activity, Installation Resource Managers	Conduct complete validation for offset document numbers.	C-33	C-28
16c	Servicing DFAS Site Activity/Installation	Verify the LI code "A" for on-post SARSS customer transactions and ODC of "1" for 26_ and 31_ EOR.	C-33	C-28

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
16d	Servicing DFAS Site Activity/Installation	Validate off-post customer LI codes, and verify all off-post customer obligations with EOR 26_ and 31_ are valid.	C-33	C-28
16e	Servicing DFAS Site Activity, Installation Resource Managers	Scrub AR_Doc_Sum for transactions with no closed document date that should be purged (i.e. all amounts equal .00 with no record in SARSS and no closed document date on AR_Doc_Sum.	C-33	C-28
16f	Servicing DFAS Site Activity, Installation Resource Managers	Query AR_Doc_Sum for amount in commitment field, but no obligation amount. Note: these will be transferred over to FCM, and if active, will have no amounts populated.	C-33	C-28
16g	Servicing DFAS Site Activity, Installation Resource Managers	Compare Bill Code 11 (in what) to STANFINS APC Master File to ensure they are valid in STANFINS.	C-33	C-28
17	Conversion & Implementation Team	Report to Colonial Heights Operations Center for conversion and implementation.	C-30	C+30
18	Installation/Field Financial Managers	Validate DODAAC, Job Order Assignment, and Customer Control Tables in ISB and APC Master File in STANFINS. Validate that DODAAC are loaded correctly, and that APC in the Job Order Assignment Table in ISB match the APC Master File in STANFINS/DJAS. Ensure default APC for all DODAACs are loaded (to prevent having to load whatever SARSS puts in the Project Code field or Fund Code field).	C-30	C-25

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
19	Installation/Field Logistic Activity/ Servicing DFAS, USPF&O, Installation RM	Under the guidance of the Conversion & Implementation Team, conduct second conversion file pull designed to assist in preparation for conversion to FC.	C-25	C-20
19a	SARSS-1, SARSS-2AC Managers, and CTASC Administrator	At the end of daily processing, all SARSS-1 conduct closeout. Notify SARSS-2AC manager of completed action. Do not conduct any further trans-outs or closeouts until notified by the CTASC Administrator.	C-25	C-25
19b	CTASC Administrator	Confirm all SARSS-1 closeouts have been received. Process daily F09 at CTASC. Conduct system backup and run designated SQL for conversion (ajudodaaf, ajumrf, ajrdohdr, ajrdoiss, ajrdorcpt, ajrdoshp, and ajrdostat. FTP files to AT&T Conversion Team.	C-25	C-25
19c	CTASC Administrator	Ensure FO9 is at the DFAS-Site, so DFAS can kick off the cycles that evening. The Servicing DFAS site activity will then have the error batches waiting the next morning.	C-25	C-25
19d	Servicing DFAS Site Activity	After STANFINS has processed final F09, collect designated files from ISB (AR_DOC_SUM, DPO_RTN_SUM, CUST_CON_TBL, NSN_EOR_TBL, EOR_ASG_TBL, JO-ASG-TBL, RIC_SRC_SPY_TBL, DODAAC_TBL, and ISB_TAC_HIS). FTP to AT&T Conversion Team. Note for ARNG: collect AFCOS unliquidated and LXG.	C-25	C-24
19e	Servicing DFAS Site Activity	Collect designated STANFINS files (EOR_Table, APC Master, NXG (detail), LXG (summary). Confirm files are not corrupt before ftp to AT&T Conversion Team.	C-23	C-23
19f	Conversion & Implementation Team	Run conversion programs and distribute output reports to Conversion & Implementation Team for distribution to Installation/Field Logistics and Financial Managers.	C-23	C-21

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
19g	Installation/Field Logistics and Financial Managers	Research/work off conversion exception reports IAW FC Conversion and Implementation Plan.	C-21	C-15
20	Installation/Field Financial Managers, FC Conversion & Implementation Team.	Validate DoJoCon Table entries and complete FADR in FCM. Verify Fiscal Station Number and customer DODAACs loaded under each FIN_WRK_CTR are correct. Load Funds Target, NSF Funds Target, and Funds Notification Levels. Change FAS values in Funds Control Module (FCM), as required (note: default is "A").	C-21	C-15
21	Installation/Field Logistics Managers, SARSS-2AC Managers	Review and clean up the Manager Review File. This is a daily process, however, every effort must be made to ensure the MRF is clear prior to final file pull for conversion. Note: any transaction that is in the MRF (other than for high dollar edit) is subject to be obligated at conversion.	C-21	C-3
22	Installation/Field Logistics and Financial Managers	Set up email addresses for FADR notification process (see Reference Number 13) in FCM.	C-15	C-15
23	Designated Logistics and/or Financial Manager	IAW Roles and Privileges (see Reference Number 12), verify user logins and permissions for FCM.	C-15	C-10
24	Implementation Team and designated POC (see Reference Number 11)	Verify receipt of SARSS ICP for SARSS-1, and SARSS-2AC/B. Check with MW Administrator to verify receipt of MW change package.	C-15	C-10
25	Implementation Team, Installation/Field Logistic Activities, Servicing DFAS Site Activity, Installation Resource Managers, AMC CTASC Representative, CTASC Administrator, Middleware Administrator	Conduct daily teleconference to monitor progress of final steps of Sequence of Events.	C-15	C+7
26	CTASC Administrator and Servicing DFAS Site	Pass historical files from ISB/AFCOS, STANFINS/DJAS, and IBO to the Conversion Team.	C-7	C-6

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
27	CTASC Administrator, MW Administrator, SARSS-2AC Managers, Installation/Field Logistic Activity	Last day for SARSS-1 processing of customer requests prior to conversion. Discontinue processing until conversion files have been confirmed received by the Implementation Team and the SARSS ICP and MW change package is loaded at all levels.	C-4	C-4
28	Installation/Field Logistic Activity, CTASC Administrator	If required, initiate procedures to handle the high priority/call-ins until SARSS-1 come back on line after SARSS ICP has been loaded.	COB C-4	SARSS-1 Comes Back on Line
29	Installation/Field Logistic Activity	Customers will stop submitting normal requests to supporting SARSS-1. Off-line processing (IAW installation established procedures) can be used for emergency requirements. Note: if used, ensure high priority call-ins include the correct fund and signal code. Logistical activities should not process through SARSS until CTASC and Middleware Administrators give go ahead after loading of SARSS ICP.	COB C-4	SARSS-1 Comes Back on Line
30	Installation/Field Logistics Managers and SARSS-2AC Managers	Review and clean up the MRF. This is a daily process, however, every effort must be made to ensure the MRF is clear prior to final file pull for conversion. Note: any transaction that is in the MRF (other than for high dollar edit) is subject to be obligated at conversion.	C-4	C-4
31	Installation/Field Logistics Managers at SARSS-2AC Managers	Review MRF one last time. If there is any transaction on the MRF (other than for high dollar edit) that should not be obligated, recommend cancel back to customer.	First Thing C-3	First Thing C-3
32	All SARSS-1 Activities	Conduct trans-in and process – to receive any manager actions processed as result of transactions that may have been on the MRF.	After 2A/C Manager confirms MRF is clear. C-3	After 2A/C Manager confirms MRF is clear. C-3
33	Installation/Field Logistic Activity/ Servicing DFAS, USPF&O, Installation RM, SARSS-1, SARSS-2AC Managers, and CTASC Administrator	Under the guidance of the Implementation Team, conduct final File Pull – this one for actual conversion to Funds Control.	C-3	C-3

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
33a	SARSS-1, SARSS-2AC Manager, and CTASC Administrator	At the end of daily processing, all SARSS-1 conduct closeout. Notify SARSS-2AC manager of completed action. Do not conduct any further trans-outs or closeouts until notified by the CTASC Administrator.	C-3	C-3
33b	CTASC Administrator	Confirm all SARSS-1 closeouts have been received. Ensure the Doc History queue is empty by processing all transactions. Ensure the SARSS-2A/C managers have cleared the MRF. Process daily F09 at CTASC. Conduct system backup and run designated SQL for conversion (ajudodaaf, ajumrf, ajrdohdr, ajrdoiss, ajrdorcpt, ajrdoshp, and ajrdostat. FTP files to AT&T Conversion Team.	C-3	C-3
33c	CTASC Administrator	Ensure FO9 is at the DFAS-Site, so DFAS can kick off the cycles that evening. The Servicing DFAS site activity will then have the error batches waiting the next morning.	C-3	C-3
33d	Servicing DFAS Site Activity	Conduct daily ISB cycle. Ensure that all F09s have been processed. Work off batch errors and rerun cycle, as required. Trigger ISB/AFCOS month-end processing after all batch errors are worked. Note for ARNG: Following daily AFCOS runs and verify validity.	C-3	C-2
33e	Servicing DFAS Site Activity	Run closed cycle for all ODS and STANFINS/DJAS data.	C-2	C-2
33f	Servicing DFAS Site Activity	Collect designated files from ISB (AR_DOC_SUM, DPO_RTN_SUM, CUST_CON_TBL, NSN_EOR_TBL, EOR_ASG_TBL, JO-ASG-TBL, RIC_SRC_SPY_TBL, DODAAC_TBL, and ISB_TAC_HIS). FTP to AT&T Conversion Team. Note for ARNG: collect AFCOS unliquidated and LXG.	C-2	C-2
33g	Servicing DFAS Site Activity	Collect designated STANFINS files (EOR_Table, APC Master, NXG (detail), LXG (summary). Confirm files are not corrupt before ftp to AT&T Conversion Team.	C-2	C-1

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
33h	Installation/Field Logistics and Financial Managers	File conversion exception reports for future reference and audit purposes (recommend 2 years).	C-Day	C-Day
34	Implementation Team, CTASC Administrator, SARSS-2AC Managers, SARSS-1, Financial Manager	Upon direction from CTASC Administrator (in coordination with Implementation Team, load/validate <u>ALL</u> SARSS change packages. Notes: SARSS-2AC managers must also load NSF dollars in SARSS. Coordinate with Financial Manager beforehand to ensure NSF dollars in SARSS are the same as NSF Funds Target established in FCM.	After Impl. Team / Conv. Team confirms all SARSS conv. files have been received.	C-Day
35	Installation/Field Logistic Activities, Installation DODAAC Coordinator, Servicing DFAS Site Activity, Installation Resource Managers, AMC CTASC Representative, LAISO, Middleware Administrator	NOTE: See Reference Item Number 6a, if a FIN_WRK_CTR was not entered on the O&M DODAAC record for the tactical Forward Distribution Points (SSA) prior to loading the SARSS ICP for FC, SARSS will default to the O&M RIC of the SSA. If the responsible RM decides that a different FIN_WRK_CTR will be used to support the command's concept of controlling funds, it should be changed before processing transactions under FC.	C-90	C-60
36	Middleware IT Staff & Administrators	Train Middleware personnel to operate Web Services Module; new functionality; new interfaces; troubleshooting; error correction; FCM related middleware research.	C-45	C-7
37	Middleware IT Staff & Administrators, CTASC Administrator	In coordination with CTASC Administrator, load and reconfigure MW change package.	C-Day	C-Day
38	CTASC Administrator, MW Administrator, FCM Administrator	After CTASC change package has been loaded, provide a copy of the new dodaaf script to the CTASC Administrator and execute the run dodaaf script to populate Middleware. MW will, in turn, relay the information to FCM to include FIN_WRK_CTR, OMA RIC and 2B_SPT_RIC, for the OMA DODAACs.	C-Day	C-Day

REF	ACTIVITY	TASK NAME	S-DATE	E-DATE
39	Conversion Team, CTASC Administrator, and Funds Control Module Administrator	Run Conversion Programs and populate the Funds Control Module. Release DIC TA1 transactions to SARSS to populate Funds Availability Switch values (as required). Provide Conversion Output Reports to Implementation Team for distribution to Installation/Field Logistics and Financial Managers.	C-Day	C-Day
40	Conversion Team, CTASC Administrator, MW Administrator, FCM Administrator	Once TA1 transactions have been received from MW and processed in SARSS, repeat run of DODAAF script (step) to confirm all three systems are in synch with the DODAAF.	C-Day	C-Day
41	Conversion & Implementation Team, CTASC Administrator, SARSS-2AC Managers	Produce a report of High Dollar transactions in the Non-Sufficient Funds File (Funds Processing Code = "H") prior to resuming SARSS operations. Submit via email to the Conversion & Implementation Team.	C-Day	C-Day
42	Installation/Field Logistic Activity, Implementation Team	Upon direction from CTASC Administrator, confirm DODAAC records are changed and the correct FAS value has been established at all SARSS levels.	After TA1 are released and processed thru SARSS.	C-Day
43	Installation/Field Logistic Activity	Upon direction from CTASC Administrator (in coordination with MW Administrator, FCM Administrator, Conversion Team and Implementation Team), SARSS-1s can resume normal logistical operations. Make sure post-post issue transactions from any walk-thru requisitions that may have been held prior to conversion are processed prior to the first trans-out.	C-Day	C-Day
44	Middleware and Funds Control Module Administrators	Hold new input transactions to FCM until all tables are loaded, and system is operational.	C-Day	C-Day
45	All Systems	Run check of converted systems to ensure proper processing. Submit problem reports IAW SOP, as required.	C-Day	C+30
46	Conversion & Implementation Team	Completes conversion and implementation mission in Colonial Heights.	C+30	C+30

APPENDIX C. SAMPLE DETAILED PROCESS FLOWS

Note: This appendix provides a preview of some of the Funds Control process flows that have been developed. While a more comprehensive compilation of process flows is included in the FC Conversion and Implementation Plan, these few illustrate a basic appreciation of how the funds check process will work in SARSS/FCM, how a customer obligation will be established in FCM/ODS/STANFINS/DJAS with the initial supply request, and how the Funds Control Module will pass the four types of financial impacting information to ODS: Initial Obligation, Obligation Adjustment, Accrual Information, and Cost Transfers.

Process Flow for Direct Customer Requisition to AWCF SARSS-1. Demand Satisfied by supporting AWCF SARSS-1, and Funds Are Available. This process flow illustrates how the funds check process works when funds are available, how the customer obligation is established with the initial supply request, and how obligation and accrual information are passed from FCM to ODS.

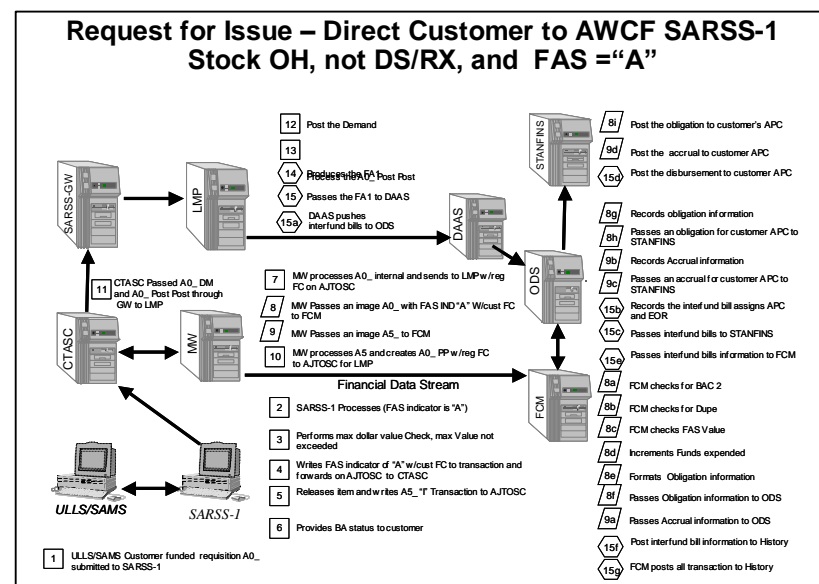


Figure A-1 - Process Flow for Direct Customer Requisition to AWCF SARSS-1 - Demand Satisfied by supporting AWCF SARSS-1

The steps that apply to this process flow:

1. Transaction: Initial supply request (DIC A0_) submitted by ULLS/SAMS customer to supporting AWCF SARSS-1.
2. SARSS-1 performs initial edit of the A0_; checks Funds Availability. FAS = "A". Because funds are available, SARSS proceeds to next edit.
3. SARSS-1 conducts a max dollar value check on the A0_, and determines the max value has not been exceeded. Proceeds to next step.
4. SARSS-1 writes the FAS indicator "A" with the customer Fund Code to the transaction and forwards transaction to CTASC on the AJTOSC file.
5. Item is available for issue, so SARSS-1 releases the item to customer and writes the A5_ "I" issue transaction to CTASC on the AJTOSC file.
6. SARSS-1 sends BA status to customer.
7. MW processes the A0_ internally and sends it to LMP/CCSS with the Regulatory Fund Code on the AJTOSC file.
8. MW passes an image of the A0_ with the FAS Indicator "A" and Customer Fund Code to FCM
 - 8a. FCM checks the image A0_ to ensure it is Budget Activity Code = "2"
 - 8b. FCM checks for duplicate documents
 - 8c. FCM checks FAS value
 - 8d. FCM increments funds expended on the Funds Account Data Record (FADR)
 - 8e. FCM formats obligation information for ODS
 - 8f. FCM passes the obligation information to ODS
 - 8g. ODS records obligation information

- 8h. ODS passes the obligation for customer APC/EFAN to STANFINS/DJAS
- 8i. STANFINS/DJAS posts the obligation to the customer's APC/EFAN
9. MW passes an image of the A5_ issue to FCM
 - 9a. FCM passes accrual information to ODS
 - 9b. ODS records accrual information
 - 9c. ODS passes an accrual for customer APC/EFAN to STANFINS/DJAS
 - 9d. STANFINS/DJAS posts the accrual to customer APC/EFAN
10. MW processes the A5_ issue and creates an A0_ post/post transaction with the Regulatory Fund Code on the AJTOSC file for LMP/CCSS
11. CTASC passes the A0_ DM and A0_ post/post through SARSS Gateway to LMP/CCSS
12. LMP/CCSS posts the demand.
13. LMP/CCSS processes the A0_ post/post transaction
14. LMP/CCSS produces the FA1, interfund bill
15. LMP/CCSS passes the FA1, interfund bill, to DAAS
 - 15a. DAAS pushes the interfund bill to ODS
 - 15b. ODS records the interfund bill and assigns the APC/EFAN and EOR
 - 15c. ODS passes the interfund bill to STANFINS/DJAS
 - 15d. STANFINS/DJAS posts the disbursement to the customer APC/EFAN
 - 15e. ODS passes the interfund bill information to FCM

Process Flow for Obligation Adjustment as the Result of Cancellation Confirmation for Request at LMP/CCSS. This process flow illustrates an obligation adjustment is processed under Funds Control.

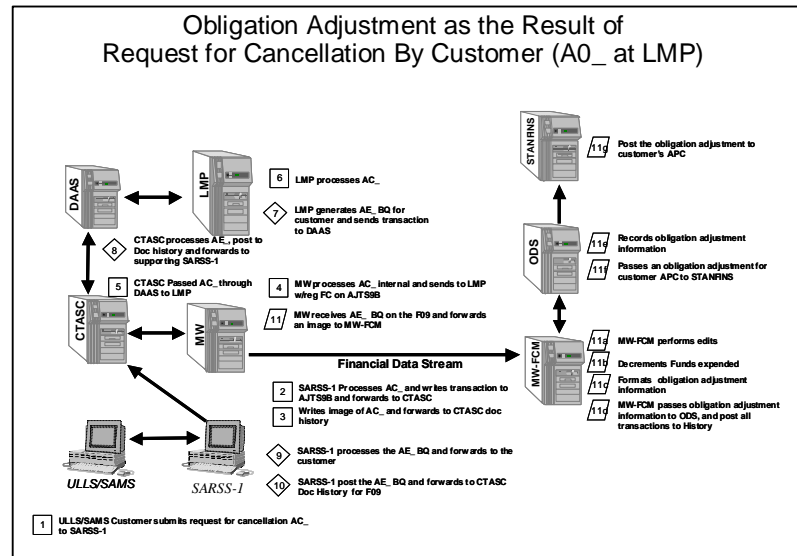


Figure A-2 - Process Flow for Obligation Adjustment Under Funds Control

The steps that apply to this process flow are:

1. Transaction: ULLS/SAMS customer submits Request for Cancellation (AC_) to SARSS-1.
2. SARSS-1 processes customer request for cancellation (AC_), writes transaction the AJTS9B file and forwards to CTASC.
3. SARSS-1 writes image of AC_ and forwards to CTASC document history
4. MW processes AC_ internally and sends on AJTS9B to LMP with Regulatory Fund Code.
5. CTASC passes AC_ through DAAS to LMP

6. LMP/CCSS processes AC_
7. LMP/CCSS generates cancellation status (AE_ BQ) for customer and sends transaction to DAAS.
8. CTASC processes AE_, posts to document history and forwards to supported SARSS-1
9. SARSS-1 processes the AE_ BQ, and forwards cancellation to the customer
10. SARSS-1 posts the AE_ BQ, and forwards to CTASC document history for F09
11. MW receives AE_ BQ on the F09, and forwards an image to FCM.
 - 11a. FCM performs edits
 - 11b. FCM decrements funds expended on FADR
 - 11c. FCM formats obligation adjustment information
 - 11d. FCM passes obligation adjustment information to ODS, and posts all transactions to history.
 - 11e. ODS records obligation adjustment information.
 - 11f. ODS passes an obligation adjustment for customer APC/EFAN to STANFINS/DJAS
 - 11g. STANFINS/DJAS posts the obligation adjustment to the customer's APC/EFAN.

Process Flow for Expected Credit Information under Funds Control

Control. This process flow illustrates how expected credit is established in FCM for a non-DS/RX serviceable customer turn-in to an AWCFSARSS-1. NOTE: until the implementation of Exchange Pricing, both serviceable and unserviceable credit will be continue to be granted to customers IAW the Army Credit Table.

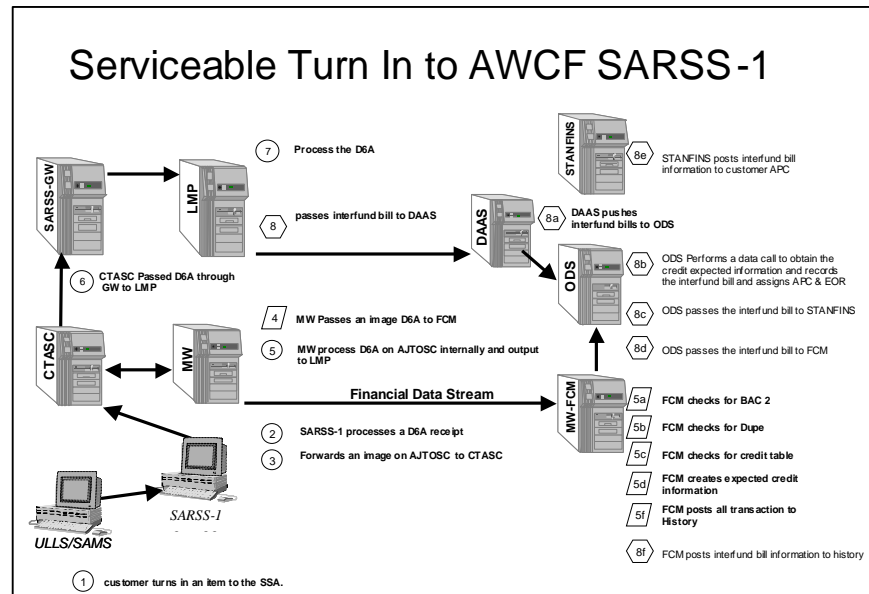


Figure A-3 - Process Flow for Establishing Expected Credit Information under Funds Control

The steps that apply to this process flow:

1. Transaction: Customer turns in a serviceable non-DS/RX item to the SSA.
2. SARSS-1 processes the customer receipt (D6A)
3. SARSS-1 forwards an image of the D6A on the AJTOSC file to CTASC.
4. MW passes an image D6A receipt to FCM
 - 4a. FCM checks image to ensure it is Budget Activity Code = "2"

- 4b. FCM checks for duplicate documents
- 4c. FCM checks credit table
- 4d. FCM creates and posts expected credit information.
5. MW processes the D6A internally and sends it to LMP/CCSS on the AJTOSC file
6. CTASC passes the D6A through SARSS Gateway to LMP/CCSS
7. LMP/CCSS processes the D6A
8. LMP/CCSS generates an interfund bill to DAAS
 - 8a. DAAS pushes the interfund bill to ODS
 - 8b. ODS performs a data call to obtain the credit expected information and records the interfund bill and assigns the APC and EOR.
 - 8c. ODS passes the interfund bill to STANFINS/DJAS
 - 8d. ODS passes the interfund bill to FCM
 - 8e. FCM posts interfund bill information to history. FCM increases the Funds Credited portion of the FADR with the FD2 information from ODS (as a result of the turn-in credit from the interfund bill).
 - 8f. STANFINS/DJAS posts interfund bill information to customer APC/EFAN

Customer Turn-in to O&M SARSS-1. This process flow illustrates how an O&M cost transfer is processed under Funds Control for a customer turn-in to an O&M SARSS-1.

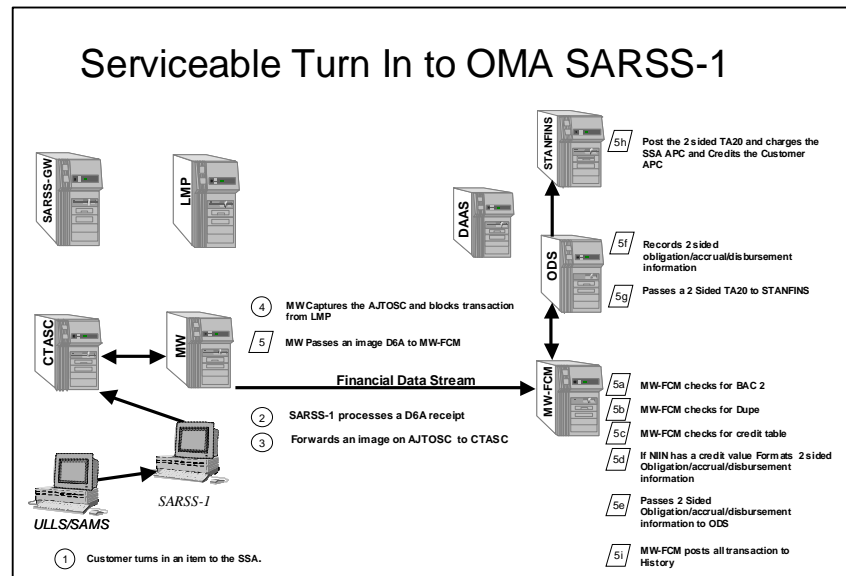


Figure A-4 - Process Flow for O&M Cost Transfer as Result of Customer Turn-in to O&M SARSS-1

The steps that apply to this process flow:

- Transaction: Customer turns in item to the SSA.
- SARSS-1 processes the customer receipt (D6A)
- SARSS-1 forwards an image of the D6A on the AJTOSC file to CTASC
- MW captures the D6S from the AJTOSC file and blocks the transaction from LMP
- MW passes an image of the D6A to FCM
 - FCM checks the image D6A to ensure it is Budget Activity Code = "2"

- FCM checks for duplicate documents
- FCM checks for credit on the credit table
- If NIIN has a credit value, FCM formats 2-sided obligation/accrual/disbursement information to ODS
- FCM passes 2-sided obligation/accrual/disbursement information to ODS
- ODS records 2-sided obligation/accrual/disbursement information
- ODS 2-sided TA 20 to STANFINS/DJAS
- STANFINS/DJAS posts the 2-sided TA 20 and charges the SARSS-1 APC, and credits the customer APC
- FCM posts all transactions to history. As a result of the OMA/OMA cost transfer, FCM decrements Funds Credited on the FADR for the SARSS-1 O&M DODAAC and increments Funds Credited for the customer DODAAC.